USOAP Continuous Monitoring Approach (CMA) Workshop

Module 4

How to Conduct PQ Self-Assessment and Submit/Update Corrective Action Plans (CAPs)

Objective

The objective of this module is to explain:

- How to conduct PQ self-assessment; and
- How to submit and update CAPs.

Outline

- How to Conduct PQ Self-Assessment.
- How to Submit CAPs.
- How to Update CAPs.

How to Conduct PQ Self-Assessment

PQ Self-Assessment

- *PQ self-assessment* essentially means that States answer the Protocol Questions (PQs) on the CMA Online Framework (OLF) as a way to assess the state of their civil aviation safety oversight systems.

Self-Assessment

- Specifically, they:
  - Assess the "**Status of Implementation**" of each PQ (i.e. Satisfactory, Not Satisfactory or Not Applicable);
  - Provide "**Remarks**" to explain "Status"; and
  - Attach supporting "**Evidence**".

PQ Self-Assessment

- Before conducting self-assessment on the OLF, States should implement their CAPs and update status of CAP implementation for each PQ finding.

- Through the "**Self-Assessment**" tool on the OLF, States can:
  - Indicate/update the status of implementation of each PQ;
  - Submit supporting evidence;
  - Conduct internal self-audits;
  - Prepare for ICAO USOAP CMA activities; and
  - Monitor their own civil aviation safety oversight systems.

PQ Self-Assessment

- As a priority, States' PQ self-assessment should focus on:
  a) "Not Satisfactory" PQs from previous USOAP activity;
  b) New PQs introduced through PQ amendments (classified as "undetermined PQs");
  c) Amended PQs which impact implementation status of PQs; and
  d) PQs whose implementation status may have changed due to changes in States' aviation system, regulations and/or procedures.

After Self-Assessment…

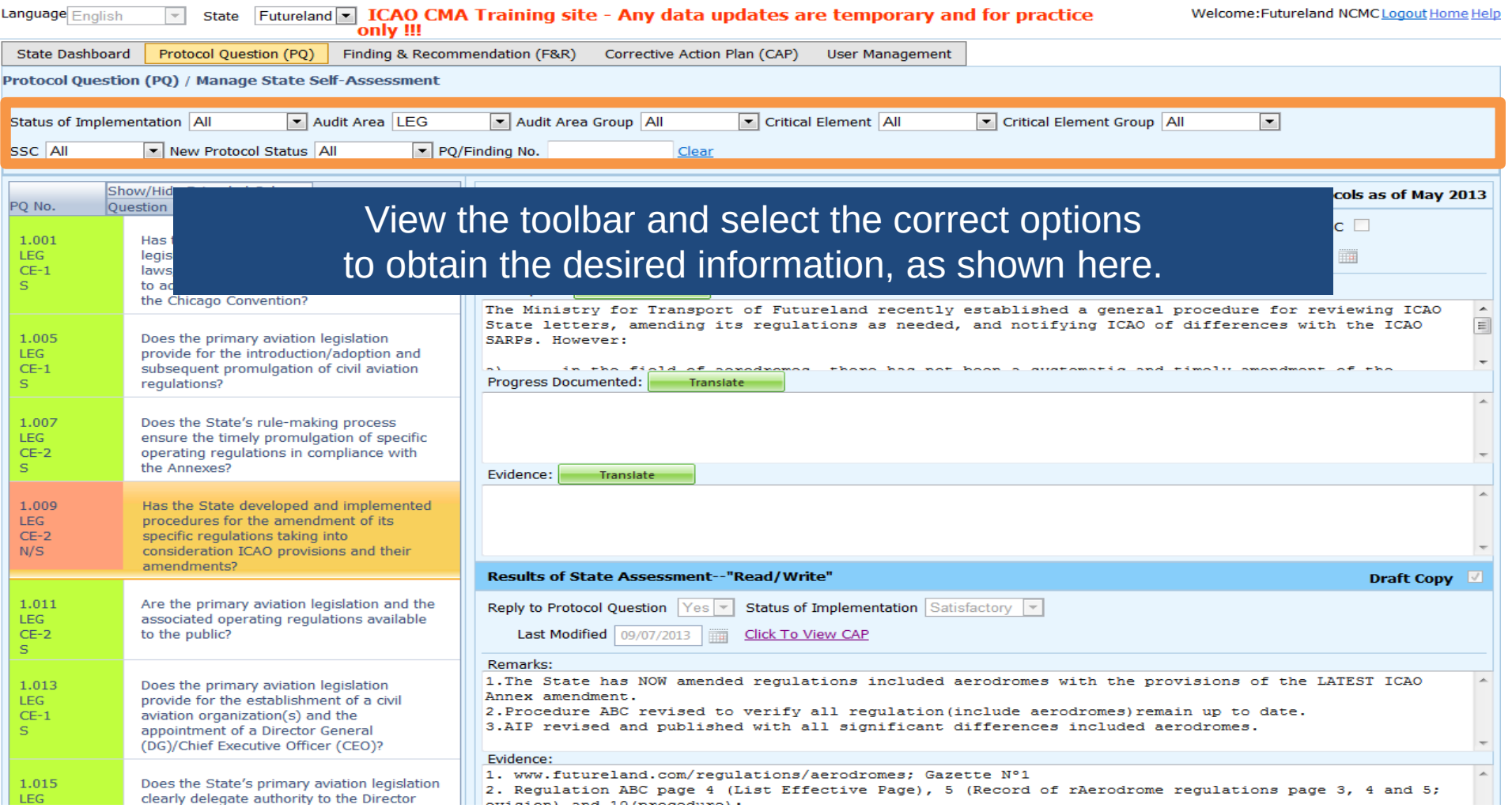
- ICAO uses the results of a State's completed self-assessment to prepare for CMA activities.
- Through the CMA activities, ICAO reviews and validates a State's self–assessment to determine the *latest* level of efficient implementation (EI) of State's safety oversight capacity.
- ICAO will periodically revise the PQs in order to reflect amendments made to the referenced documents.
- It is important for States to always refer to the stated versions of the referenced documents.

How to Conduct PQ Self-Assessment

- Go to the USOAP CMA Online Framework (OLF) website using the following link: www.icao.int/usoap.

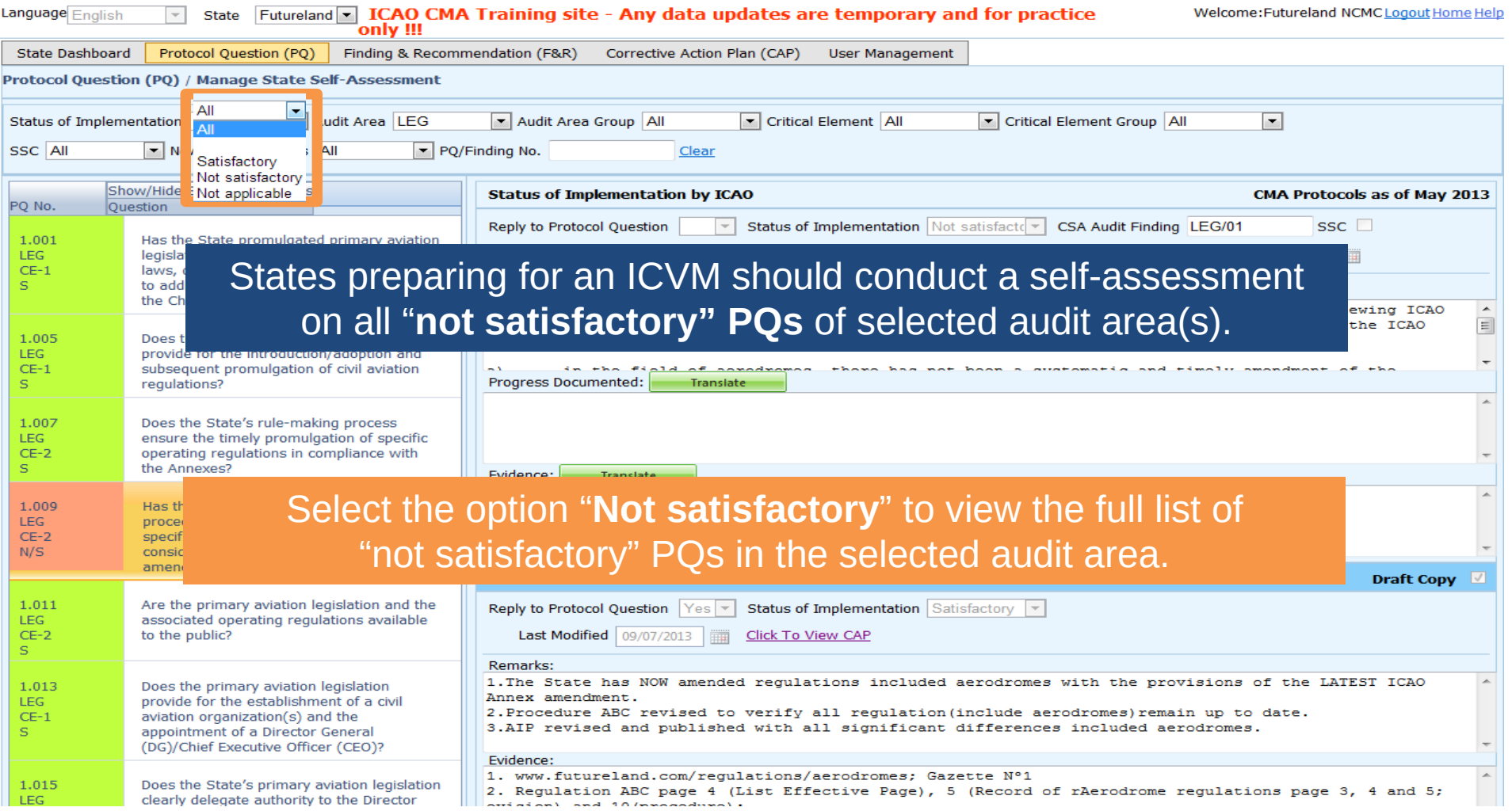
- Click the "**Self-Assessment**" icon.

Conducting PQ Self-Assessment



View the toolbar and select the correct options to obtain the desired information, as shown here.

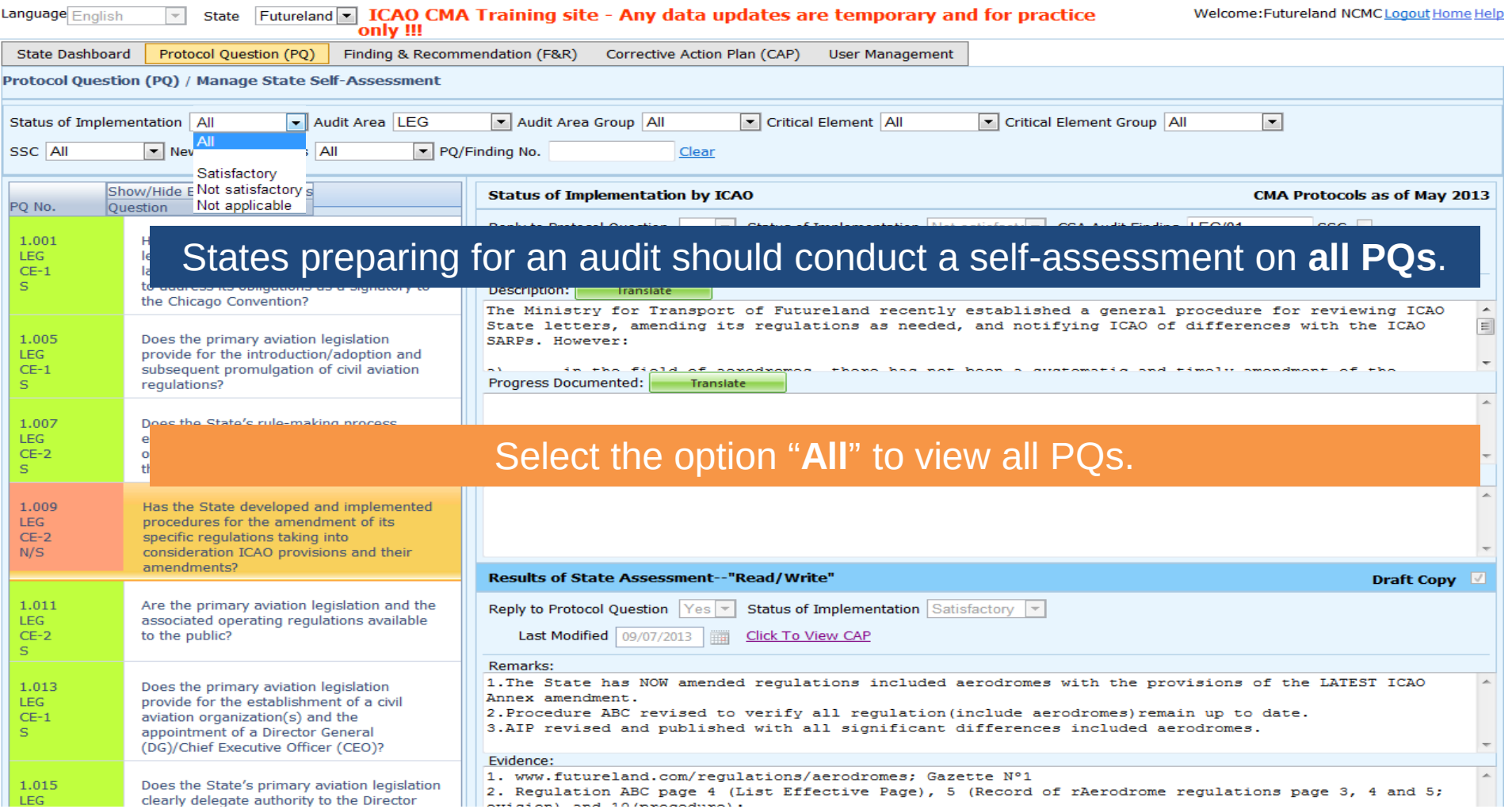
PQ Self-Assessment — for ICVM



States preparing for an ICVM should conduct a self-assessment on all "**not satisfactory" PQs** of selected audit area(s).

Select the option "**Not satisfactory**" to view the full list of "not satisfactory" PQs in the selected audit area.

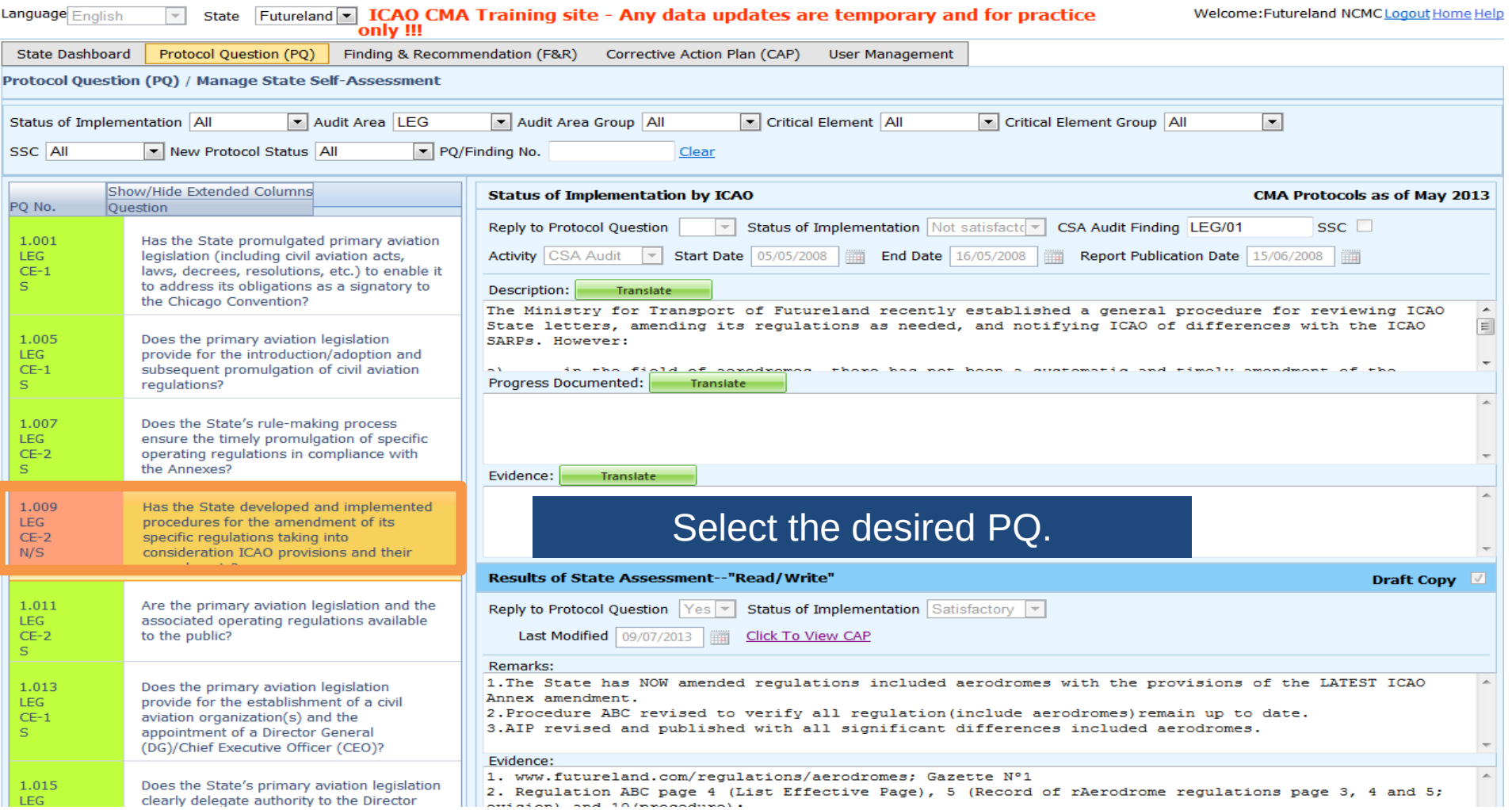
PQ Self-Assessment — for Audit



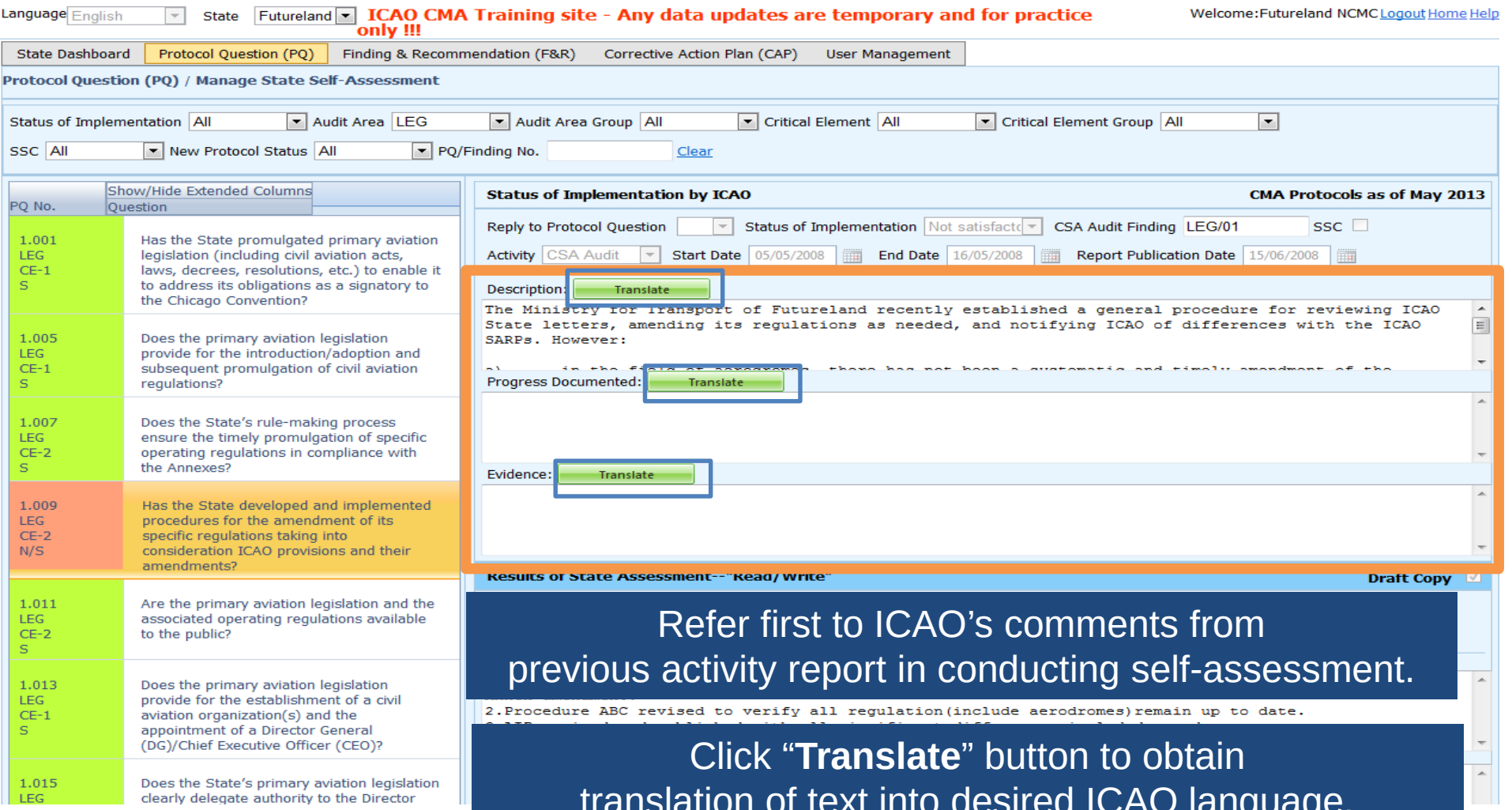
States preparing for an audit should conduct a self-assessment on **all PQs**.

Select the option "**All**" to view all PQs.

Conducting PQ Self-Assessment



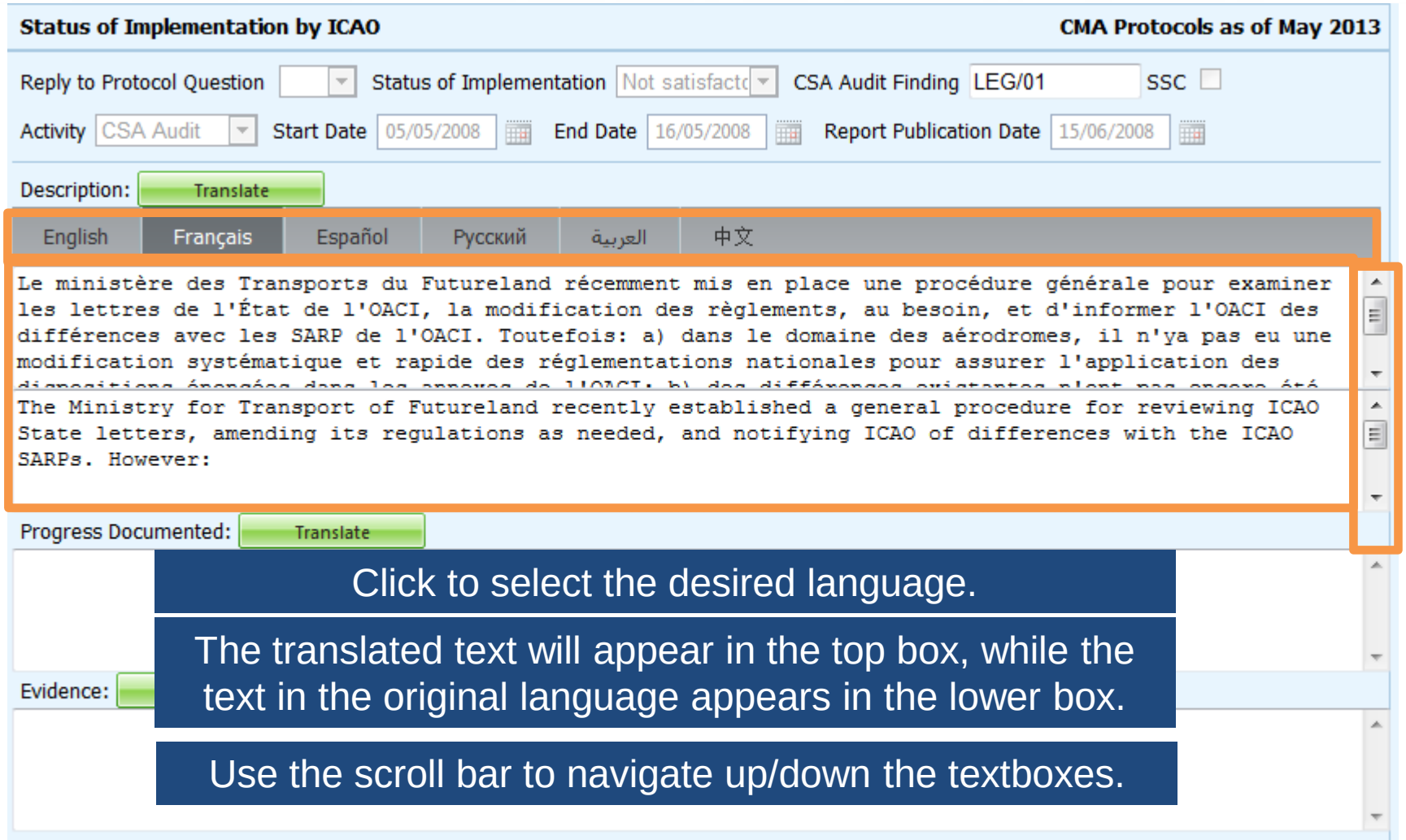
Conducting PQ Self-Assessment



Refer first to ICAO's comments from previous activity report in conducting self-assessment.

Click "**Translate**" button to obtain translation of text into desired ICAO language.

Translation of Text

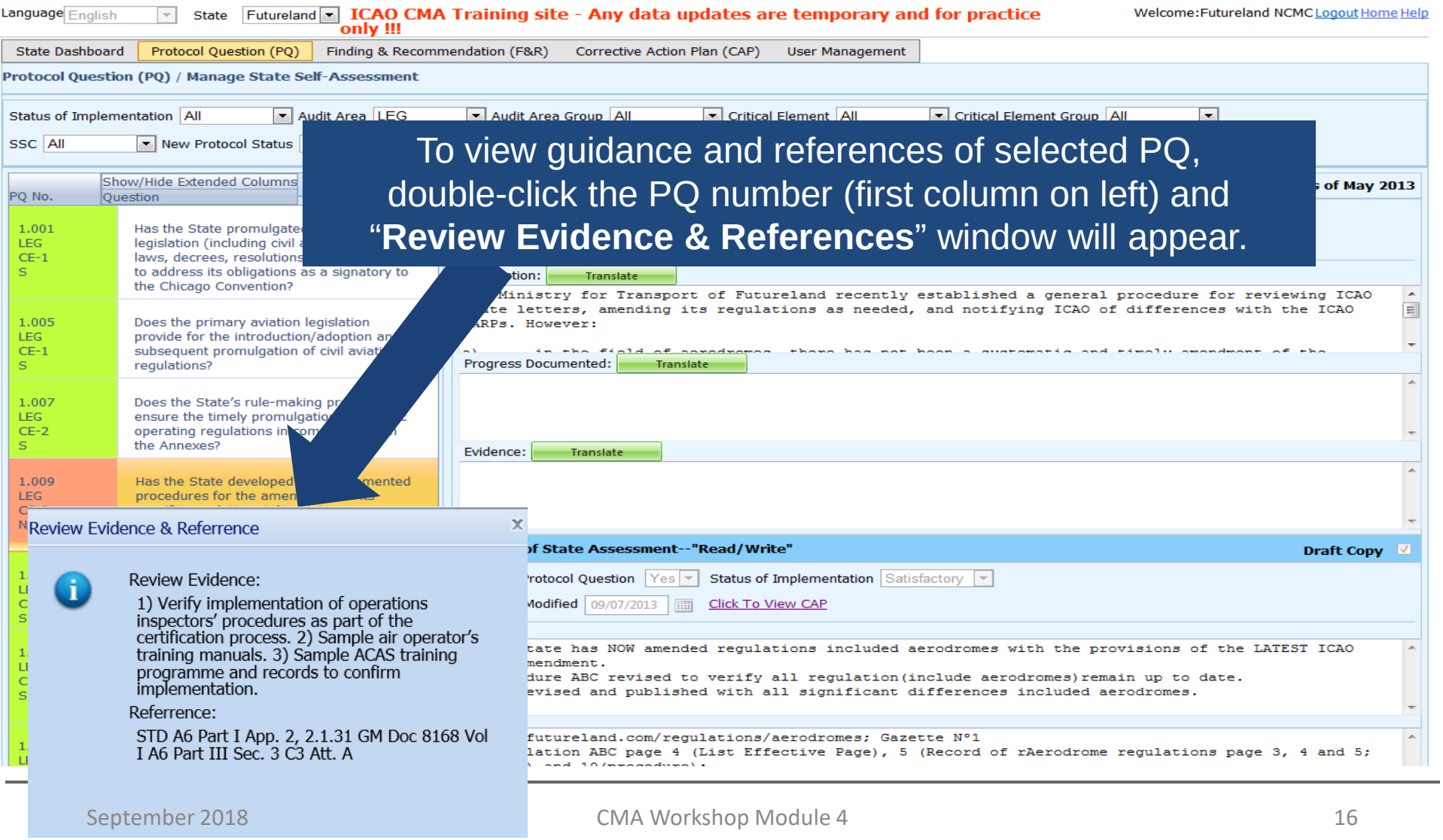


Click to select the desired language.

The translated text will appear in the top box, while the text in the original language appears in the lower box.

Use the scroll bar to navigate up/down the textboxes.

Viewing Guidance and References



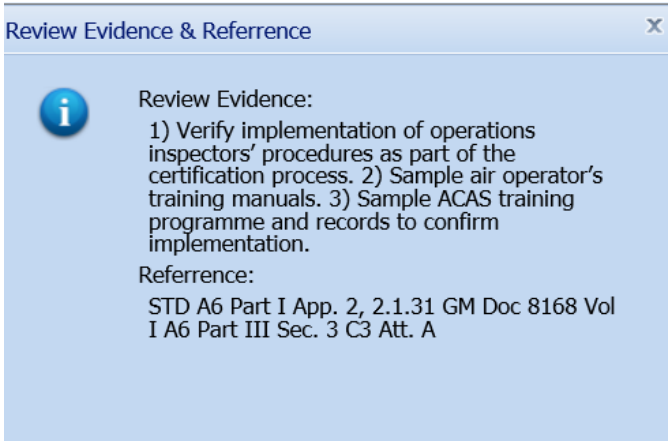
To view guidance and references of selected PQ, double-click the PQ number (first column on left) and "**Review Evidence & References**" window will appear.

Example

PQ No.	Question
4.223 OPS CE-6	Does the aircraft operations organization ensure that the air operator develops an ACAS training programme on ACAS-equipped aircraft for its pilots?

Review Evidence:

1) Verify implementation of operations inspectors' procedures as part of the certification process.
2) Sample air operator's training manuals.
3) Sample ACAS training programme and records to confirm implementation.



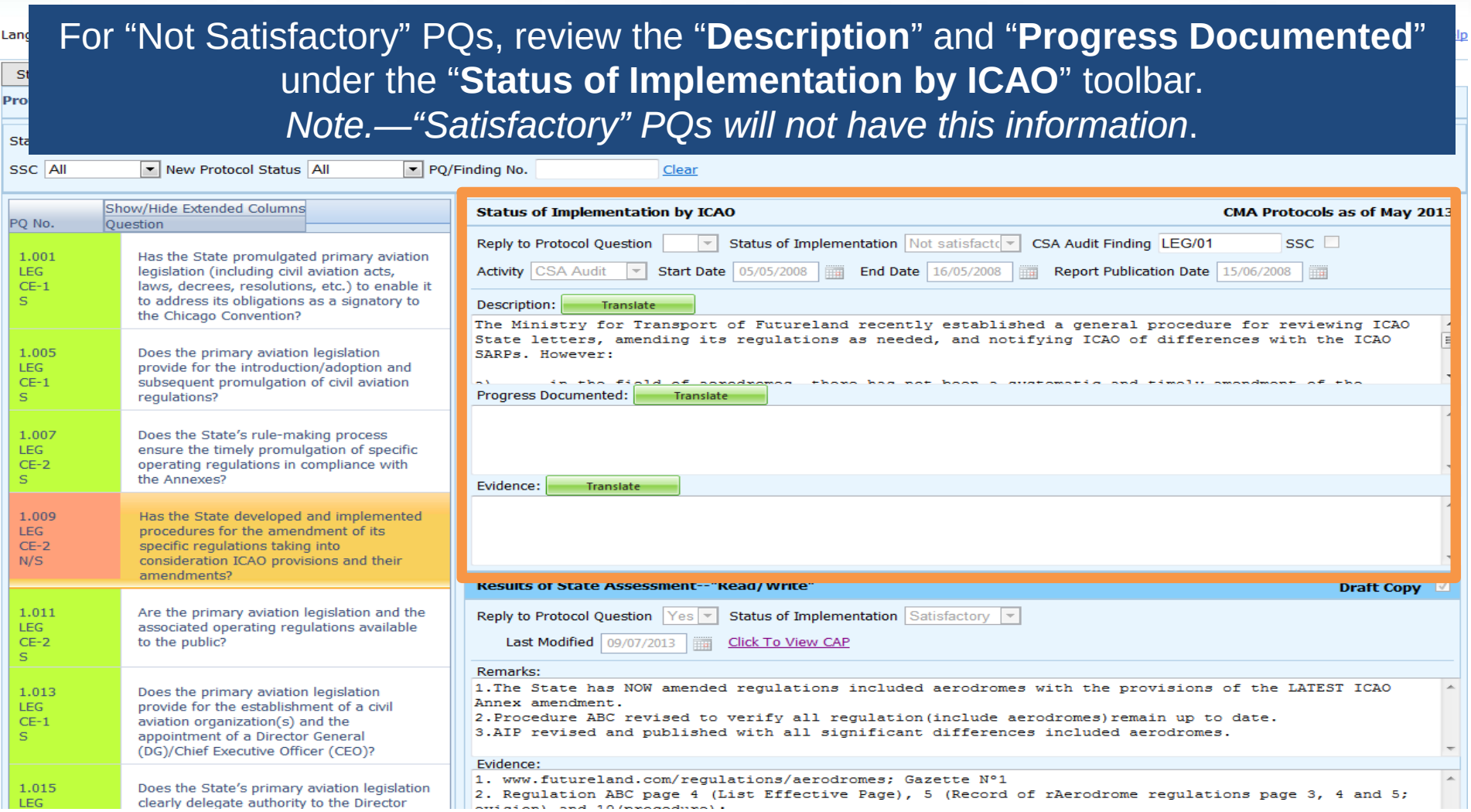
Reference

STD: A6, Part I App. 2, 2.1.31
A6, Part III Sec 3, C3, Att. A
GM: Doc 8168, Vol I

Conducting PQ Self-Assessment

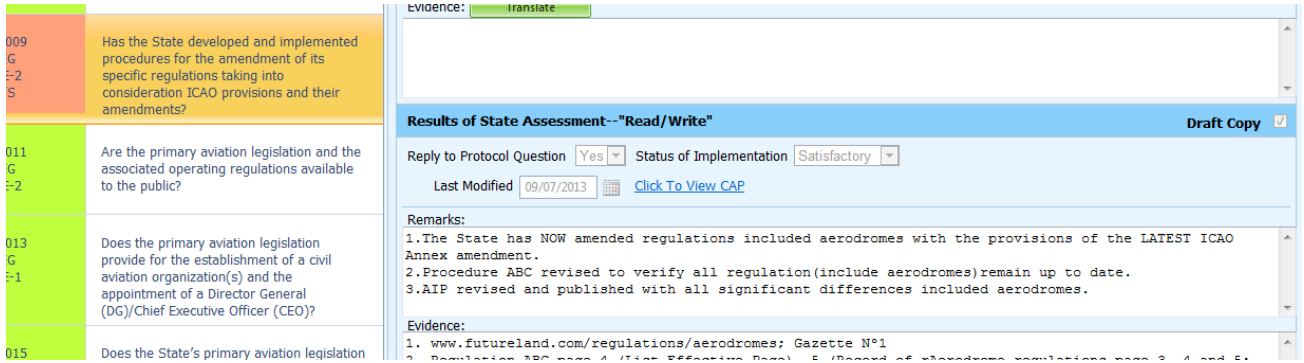
For “Not Satisfactory” PQs, review the “**Description**” and “**Progress Documented**” under the “**Status of Implementation by ICAO**” toolbar.

Note.—“Satisfactory” PQs will not have this information.

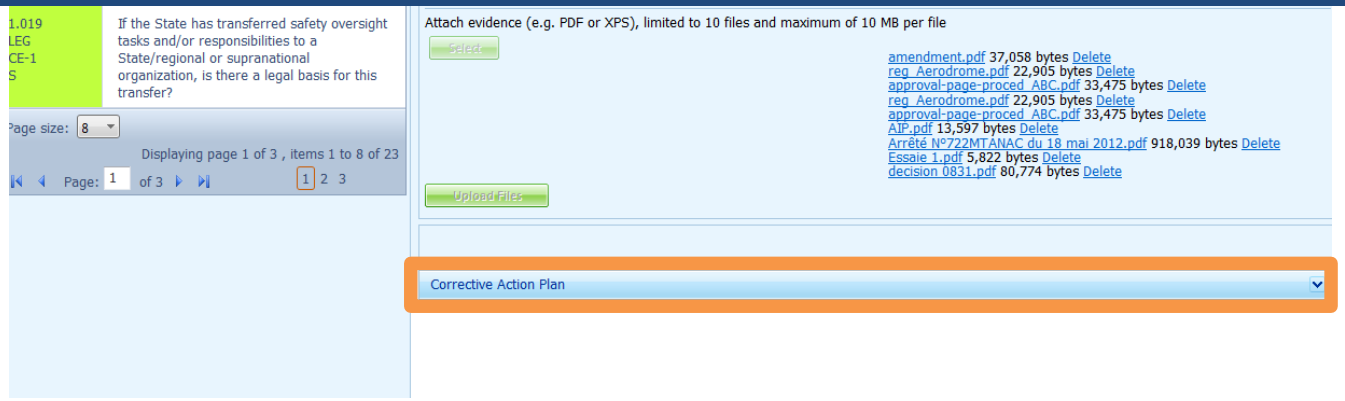


Viewing CAP

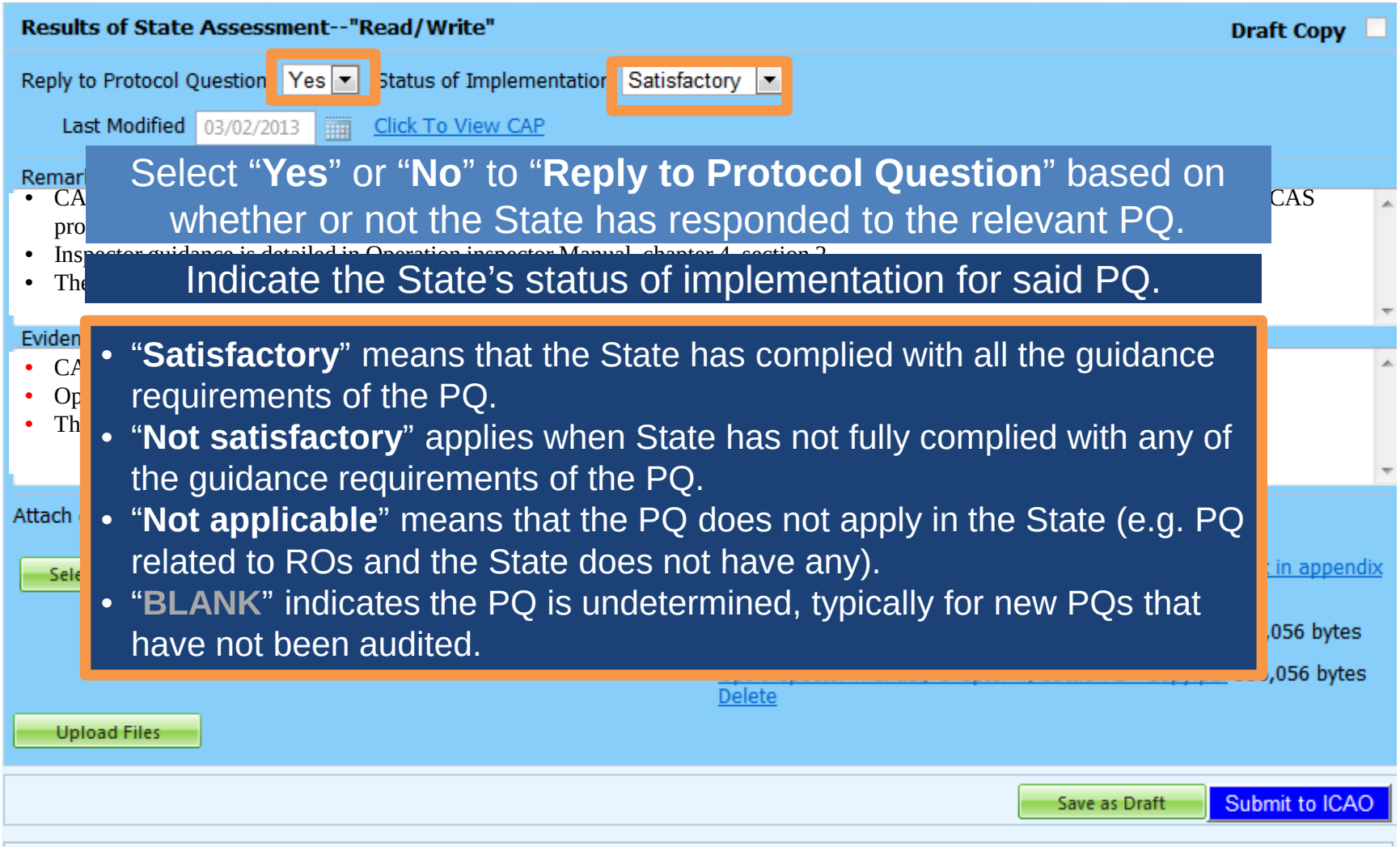
To view CAP of related PQ, click "**Click To View CAP**" link on the right. *OR*



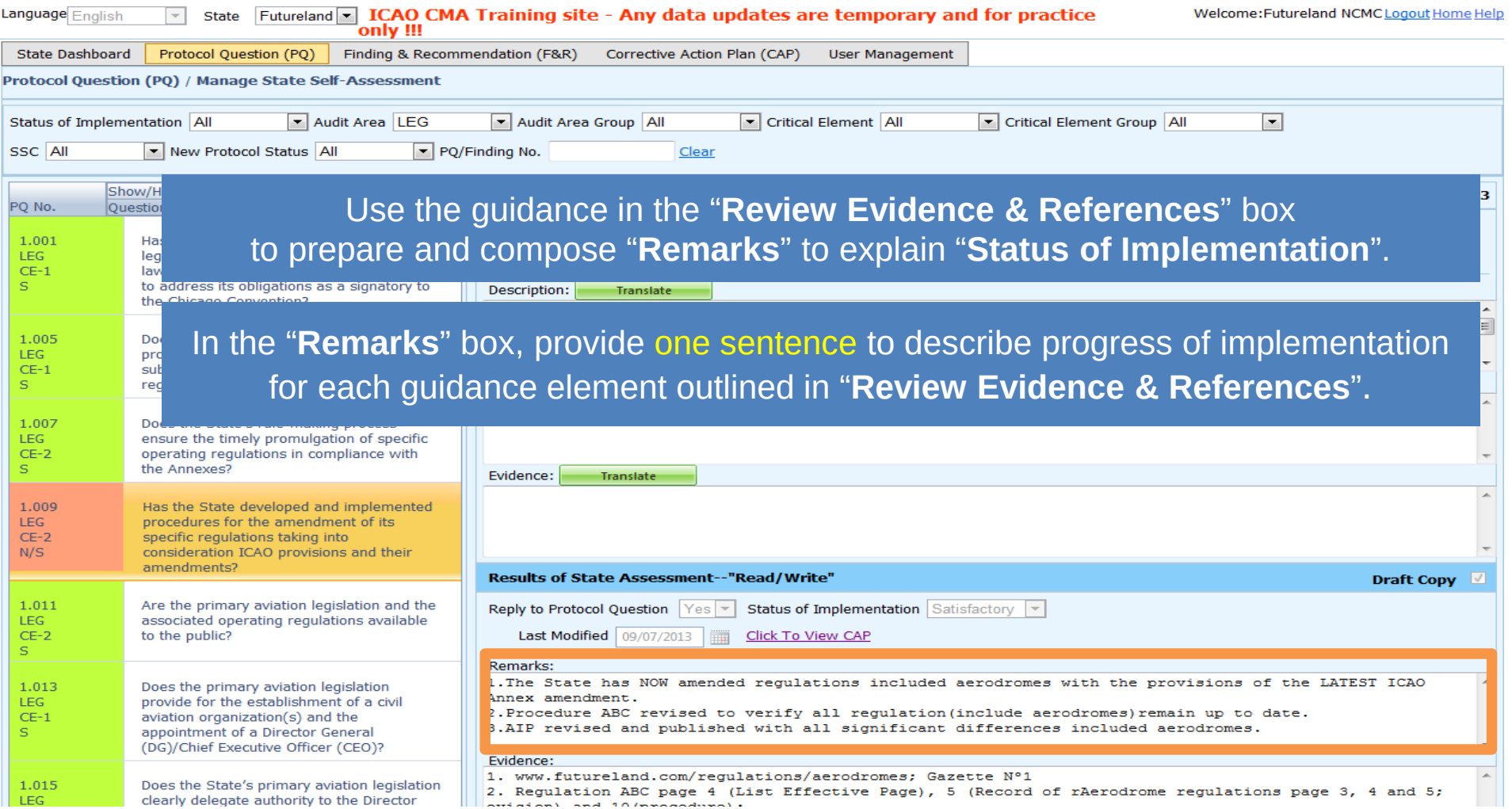
Scroll to bottom of page to view CAP inside "**Corrective Action Plan**" box.



Conducting PQ Self-Assessment



Providing Remarks…



Use the guidance in the "**Review Evidence & References**" box to prepare and compose "**Remarks**" to explain "**Status of Implementation**".

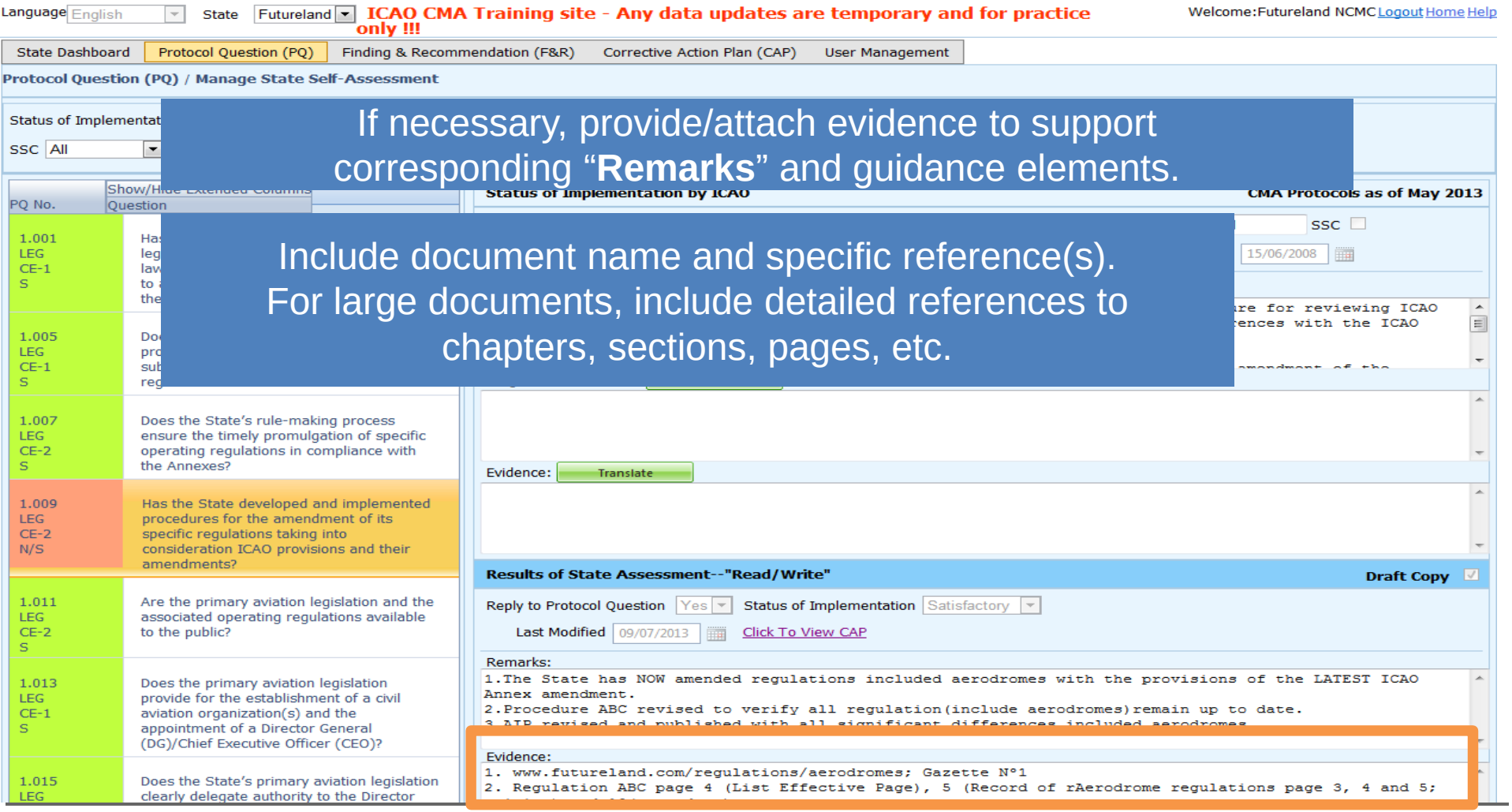
In the "**Remarks**" box, provide one sentence to describe progress of implementation for each guidance element outlined in "**Review Evidence & References**".

Providing Remarks…

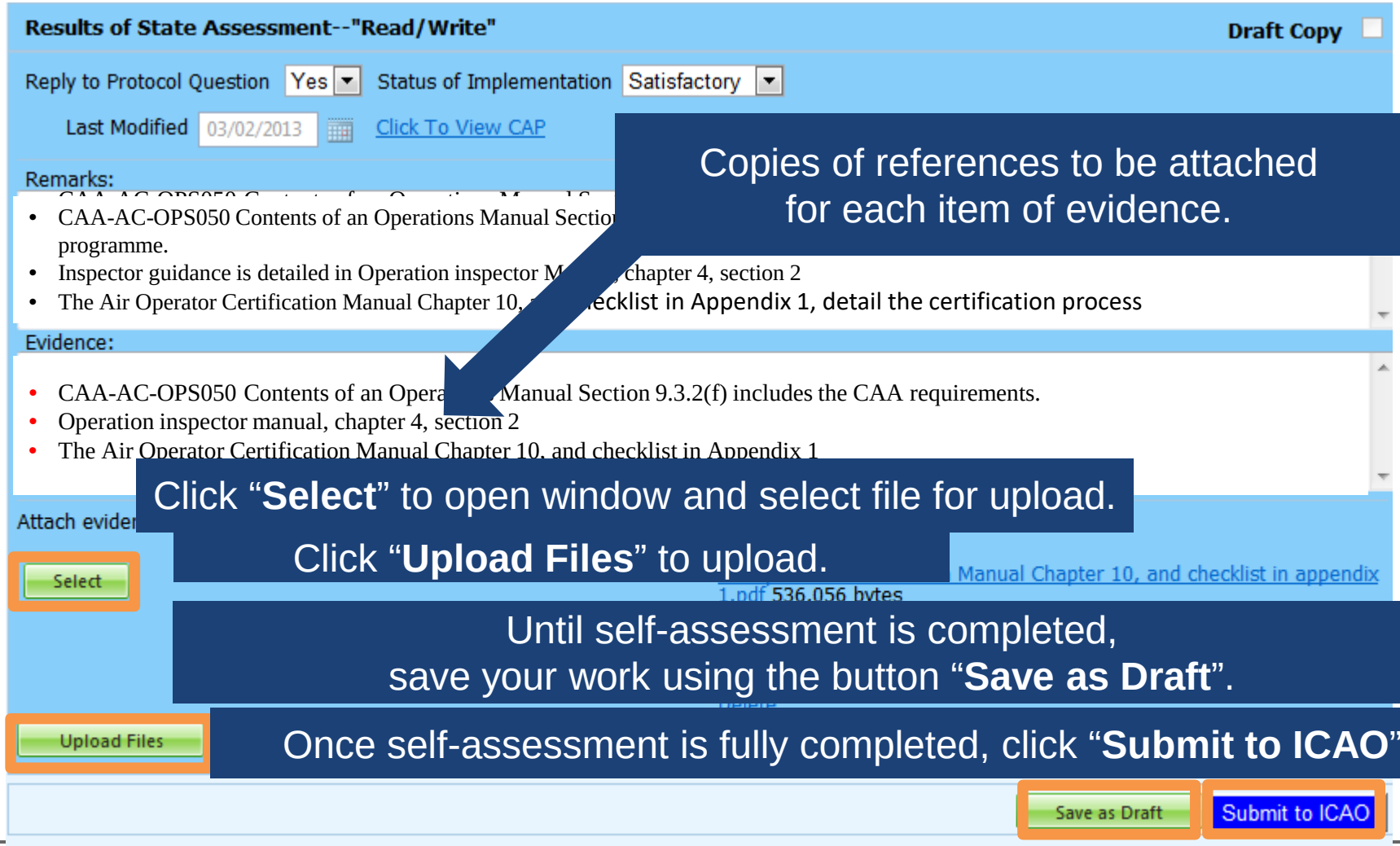
Points to keep in mind when providing "**Remarks"**:

- The State should provide "**Remarks**" to explain the reason for the "**Status of Implementation**" (Satisfactory/Not satisfactory/Not applicable) of the pertinent PQ.
- The "**Remarks**" should respond, point-by-point and in a single sentence, to each of the corresponding guidance elements found in "**Review Evidence & References**".
- If supporting evidence is attached, the State should provide detailed references, such as chapter, page, paragraph, etc.

Providing Evidence…



Completing PQ Self-Assessment



Copies of references to be attached for each item of evidence.

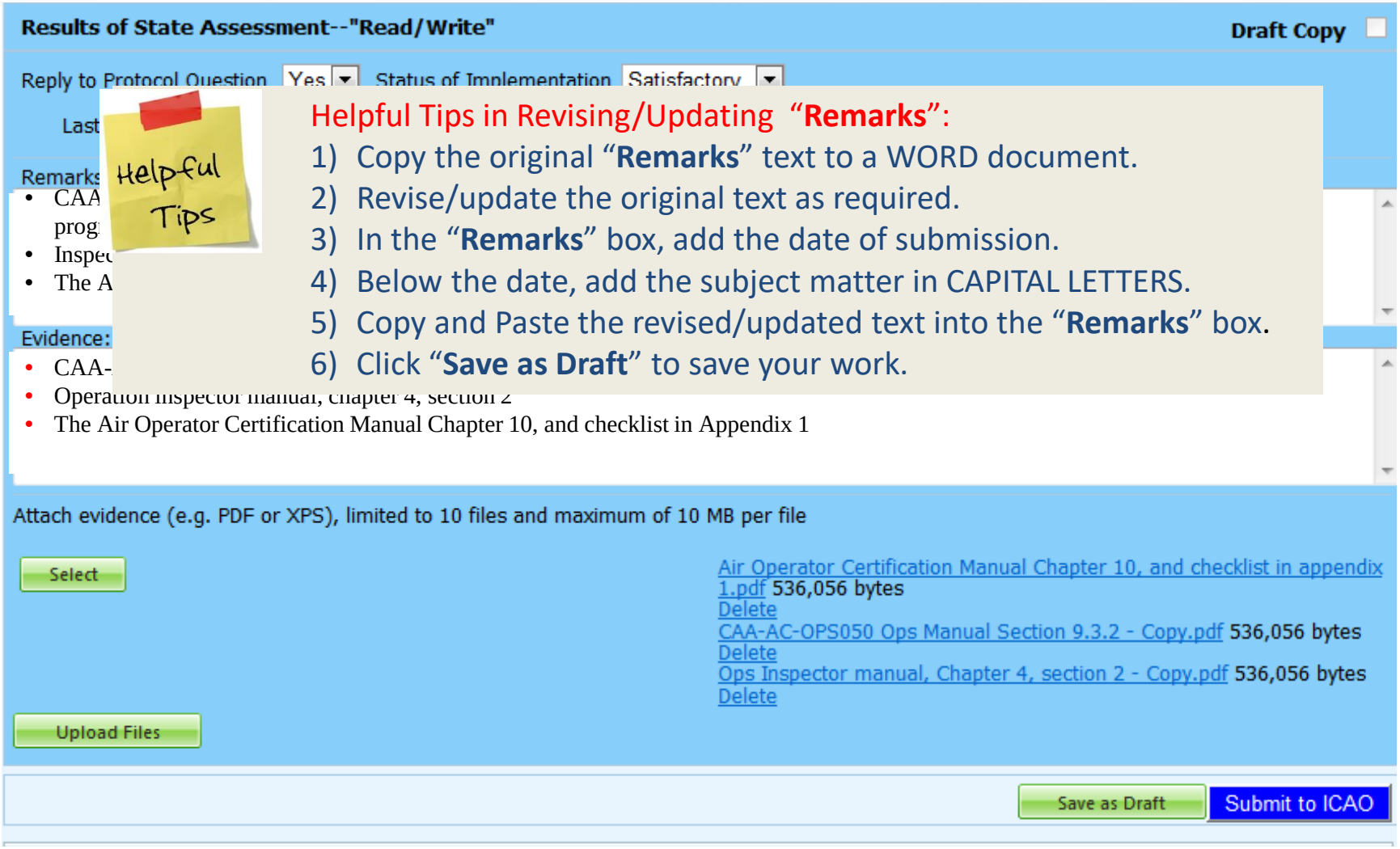
Click "**Select**" to open window and select file for upload.

Click "**Upload Files**" to upload.

Until self-assessment is completed, save your work using the button "**Save as Draft**".

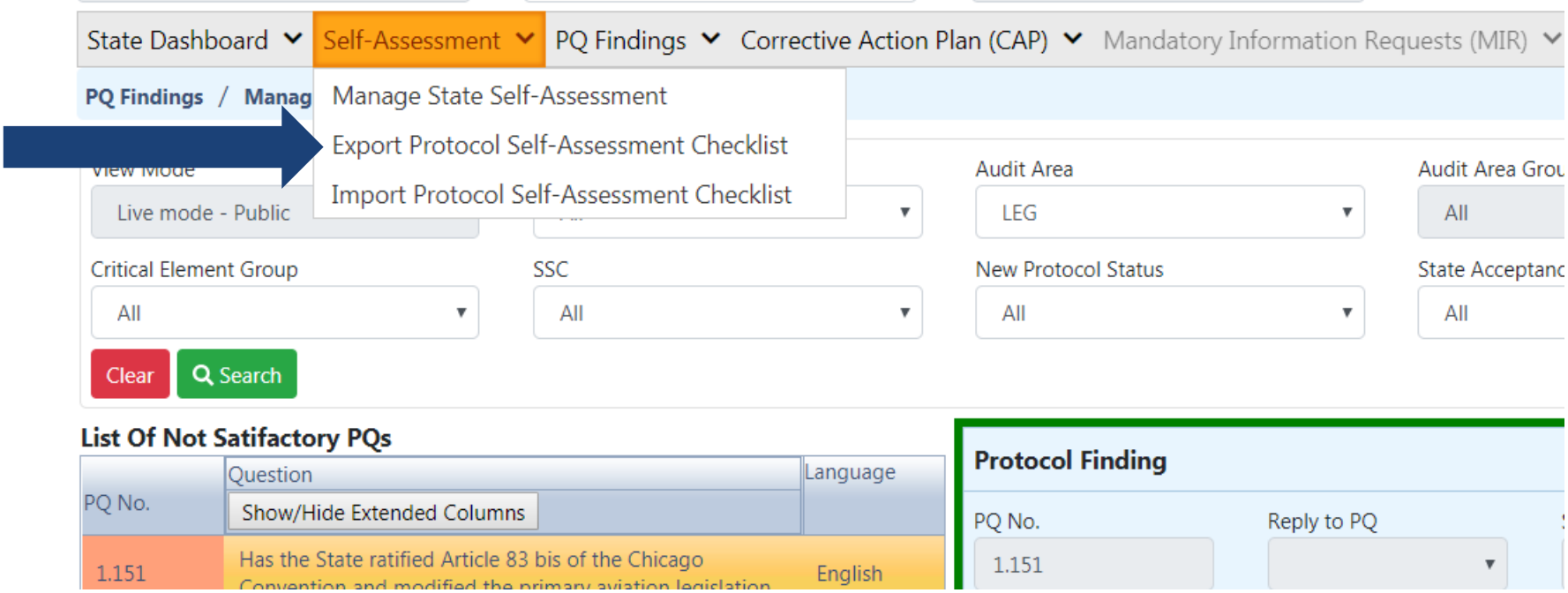
Once self-assessment is fully completed, click "**Submit to ICAO**".

Example of Completed Self-Assessment



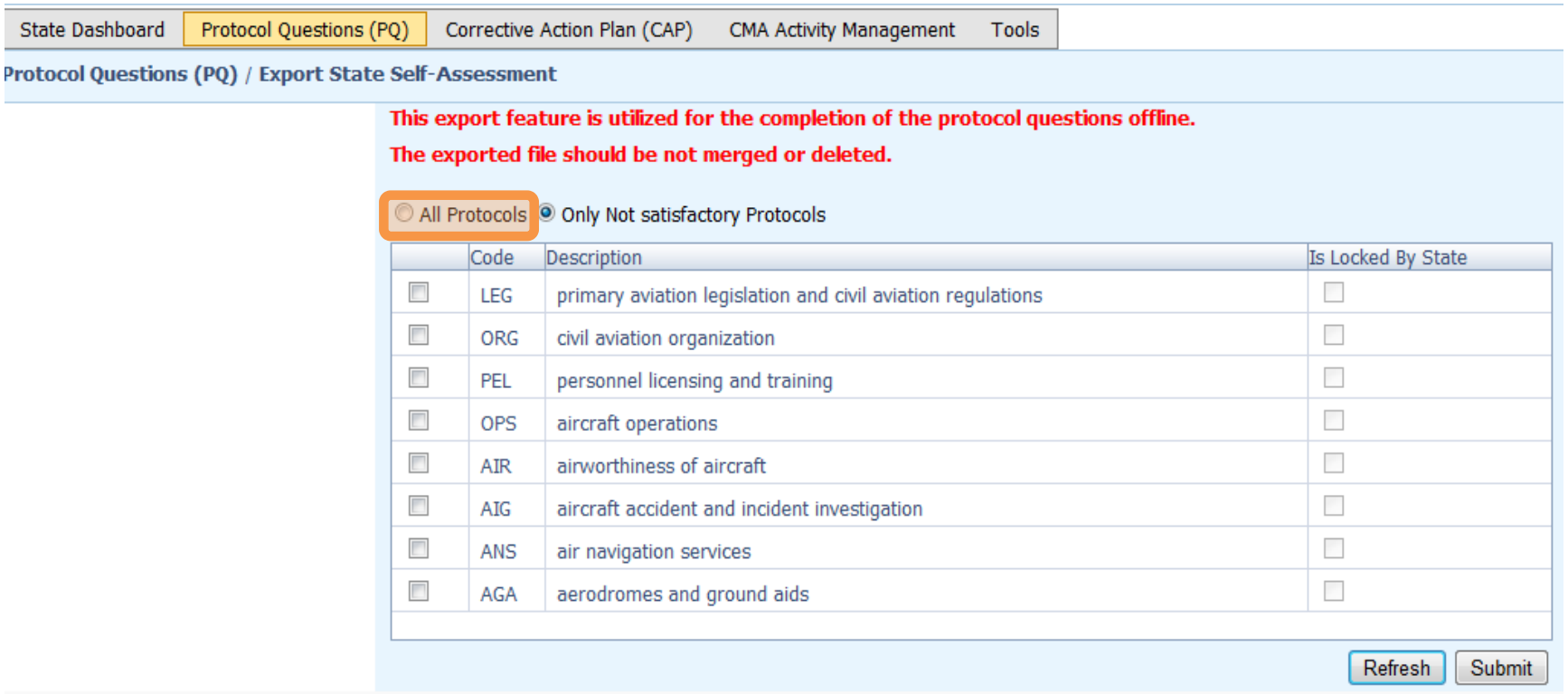
Exporting Self-Assessment Checklist

Under "**Self-Assessment**" tab, scroll down and select "**Export Protocol Self-Assessment Checklist**".



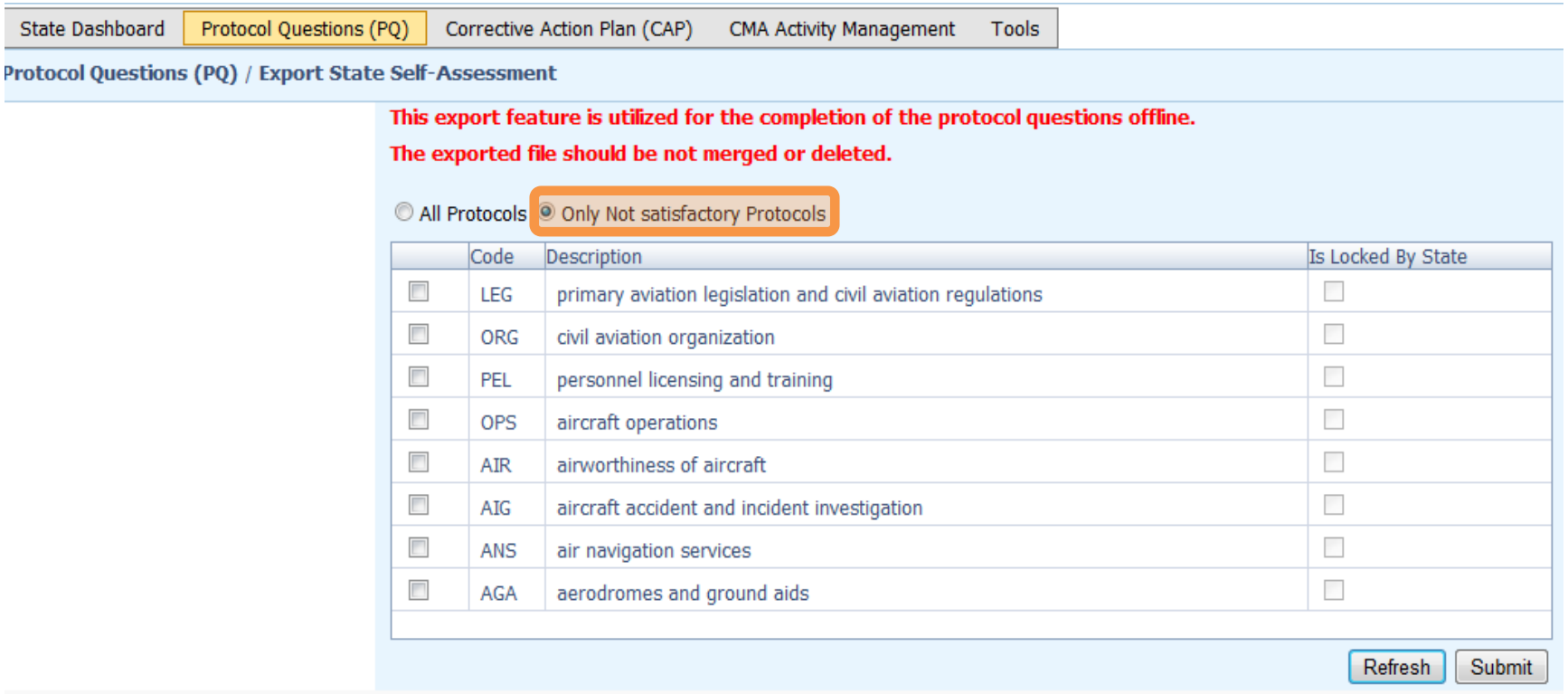
Exporting Self-Assessment Checklist — "All Protocols"

To view all PQs, Click "**All Protocols**".



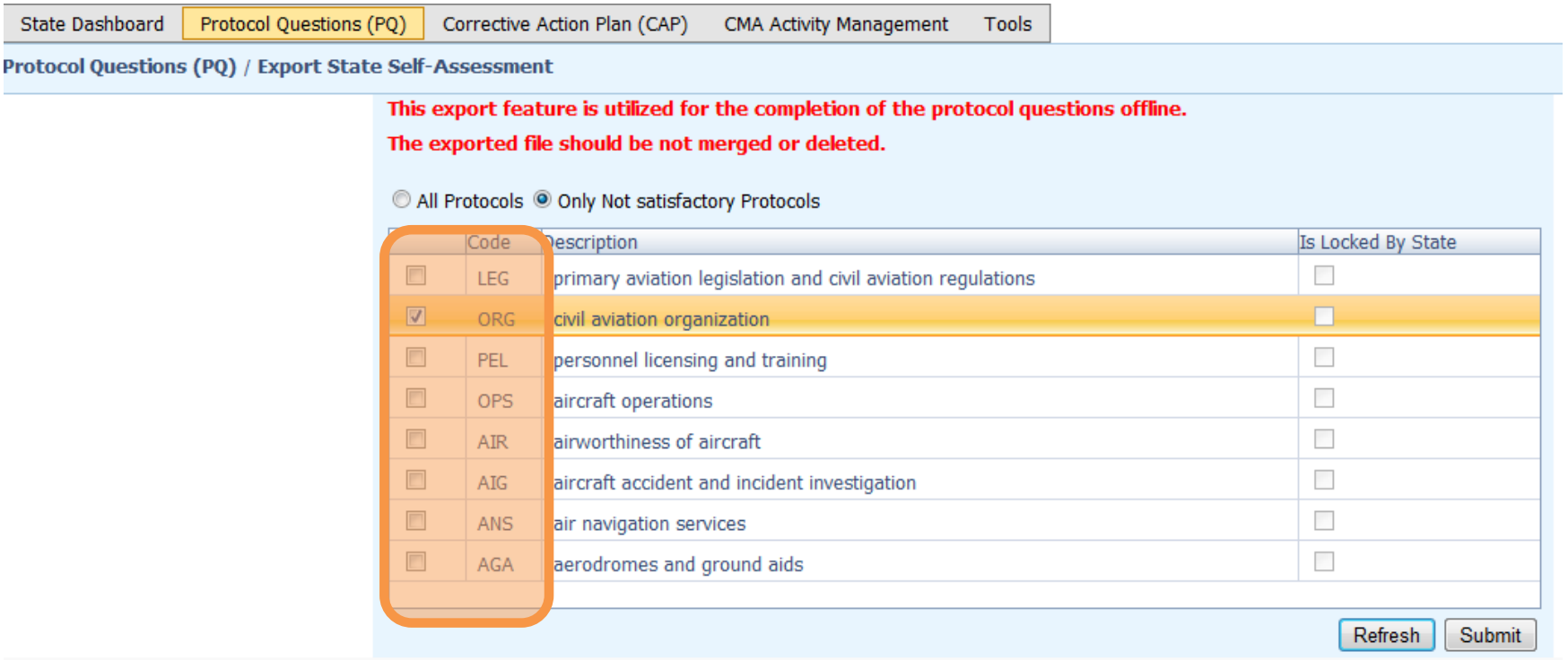
Exporting Self-Assessment Checklist — "Only Not satisfactory PQs"

To view "Not Satisfactory" PQs only, click "**Only Not satisfactory Protocols**".



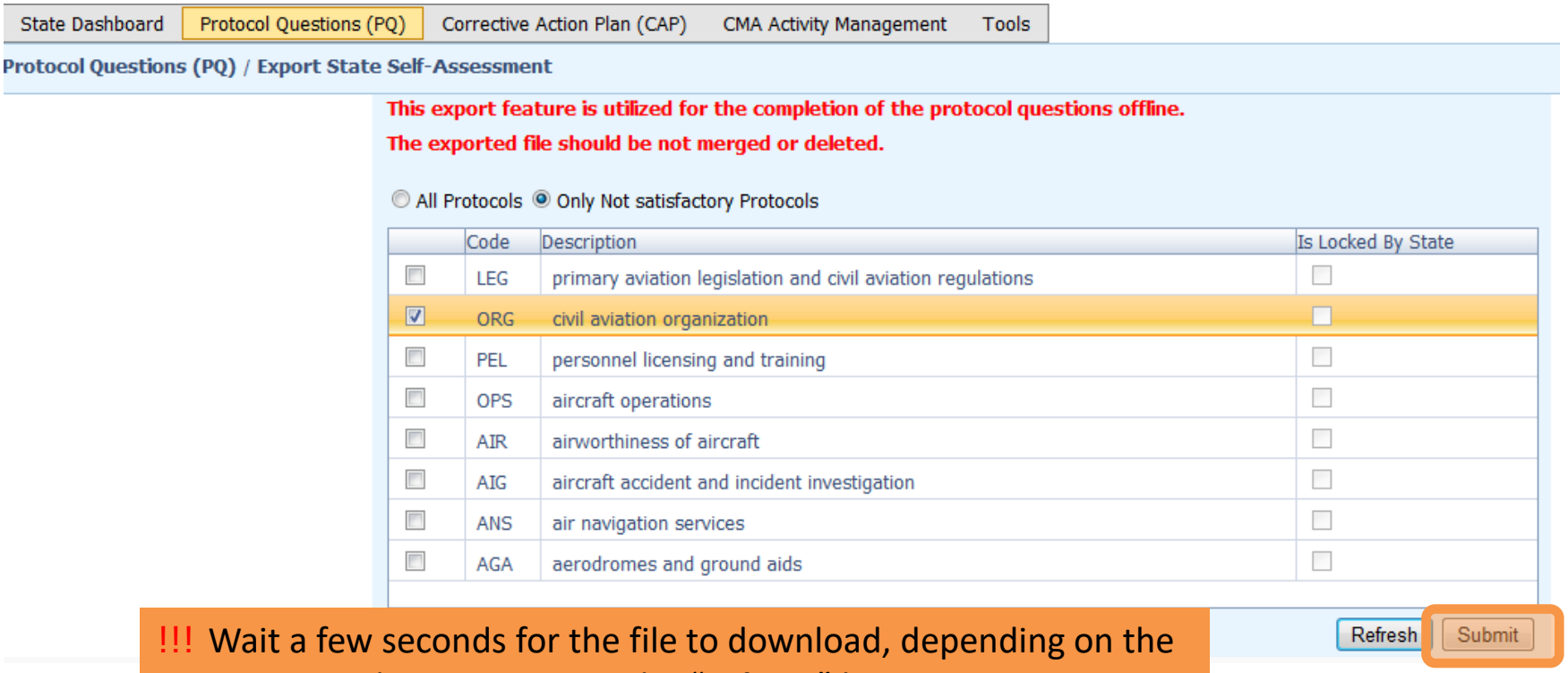
Exporting Self-Assessment Checklist — Selected PQs

To view PQs of a particular audit area (1 area at a time), check box next to selected audit area.



Exporting Self-Assessment Checklist

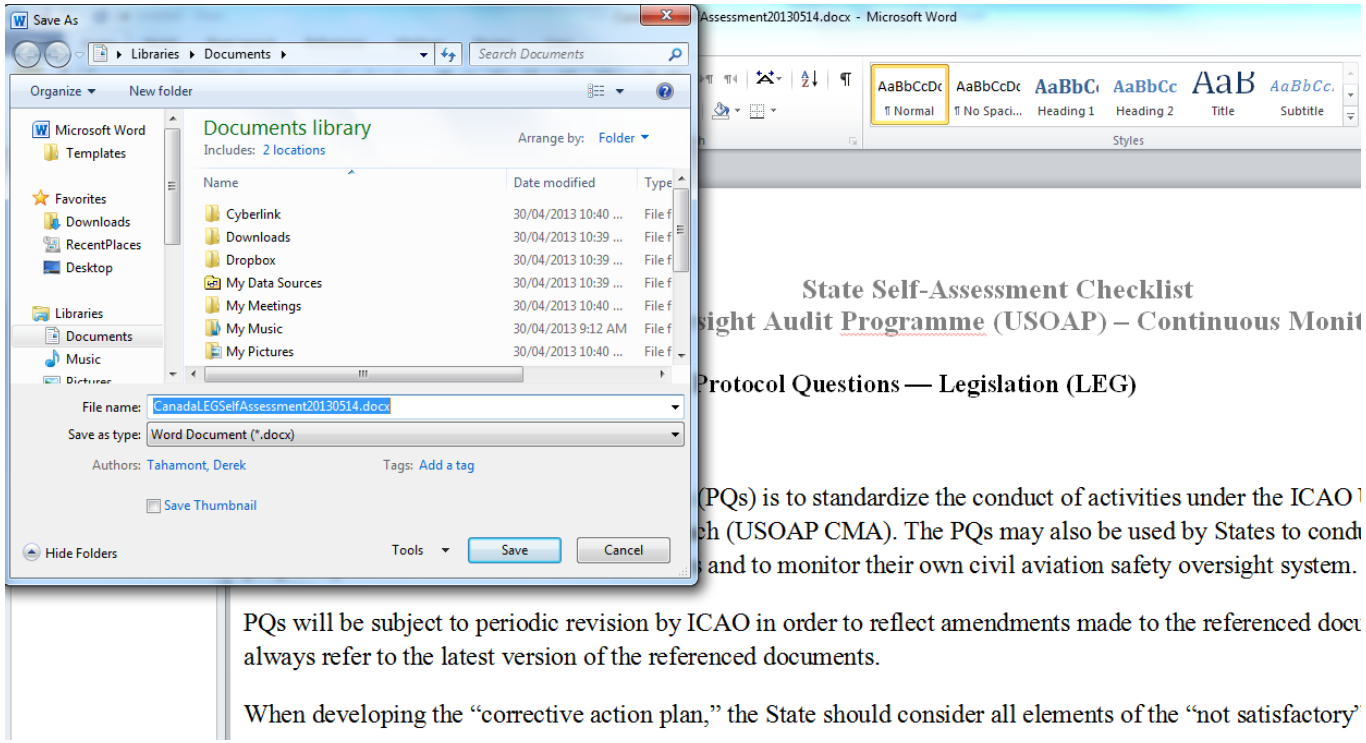
Once PQ selection is made, click "**Submit**" to download file.



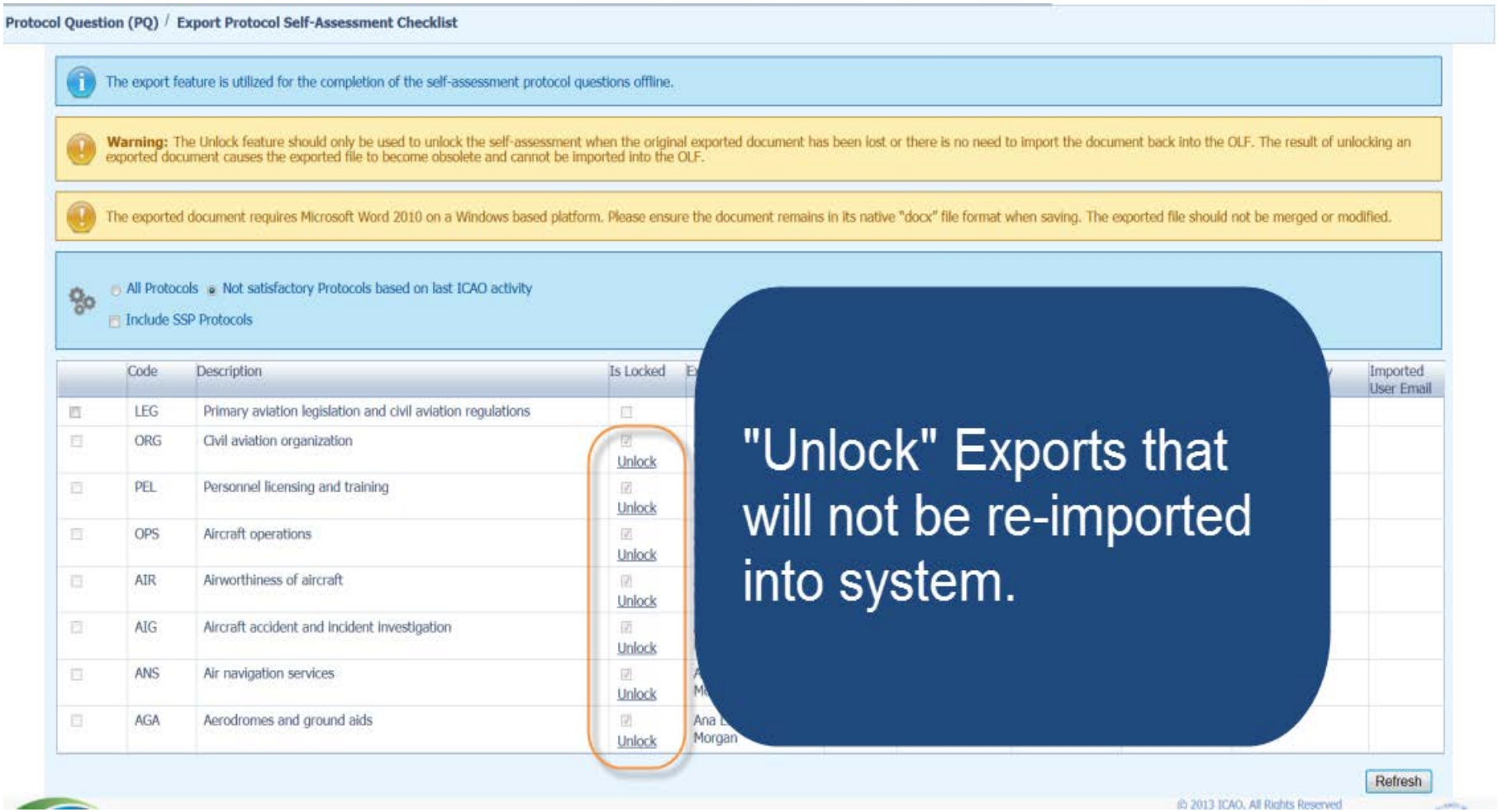
!!! Wait a few seconds for the file to download, depending on the Internet speed. DO NOT press the "**Submit**" button twice.

Exporting Self-Assessment Checklist

Save the file in the desired location for use.

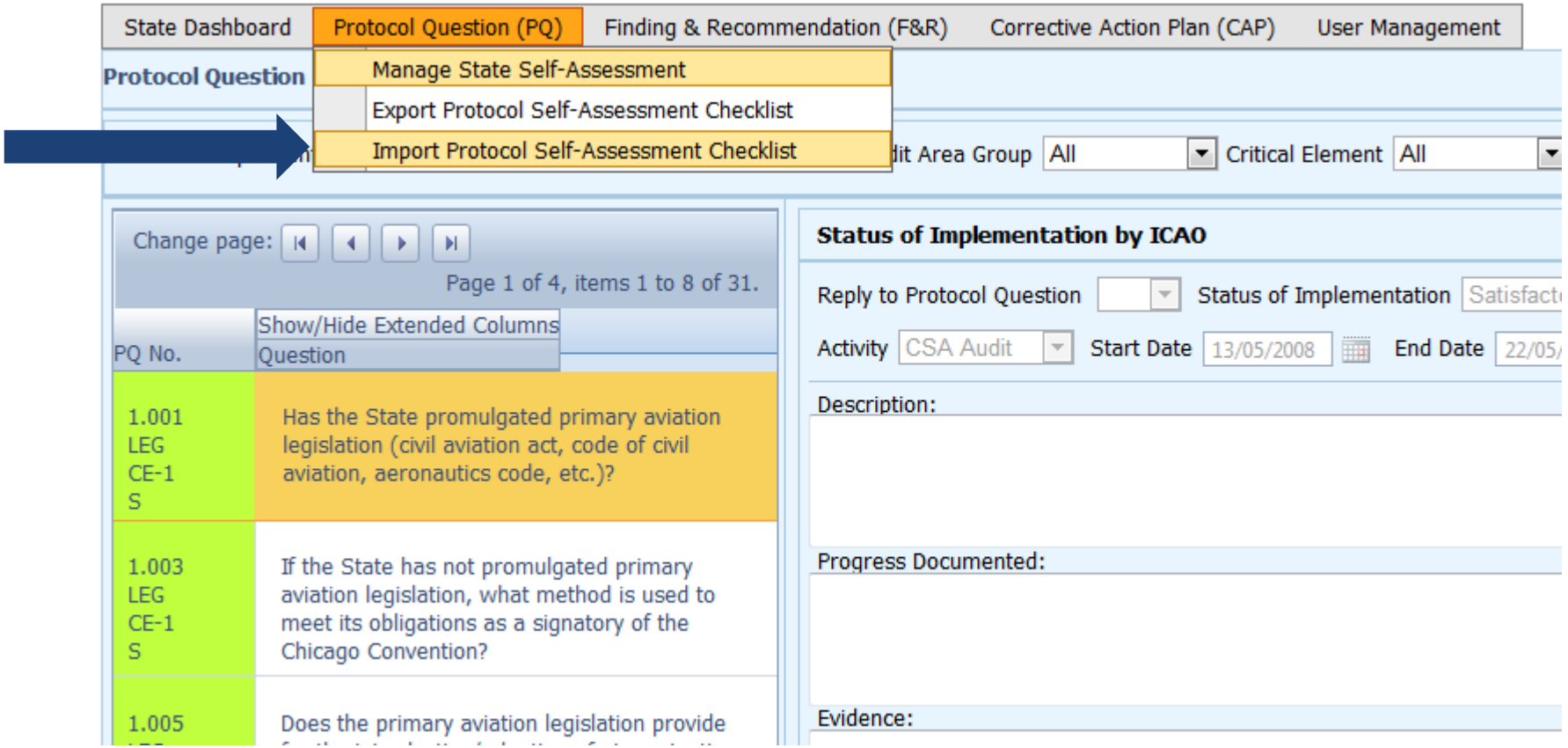


Exporting Self-Assessment Checklist



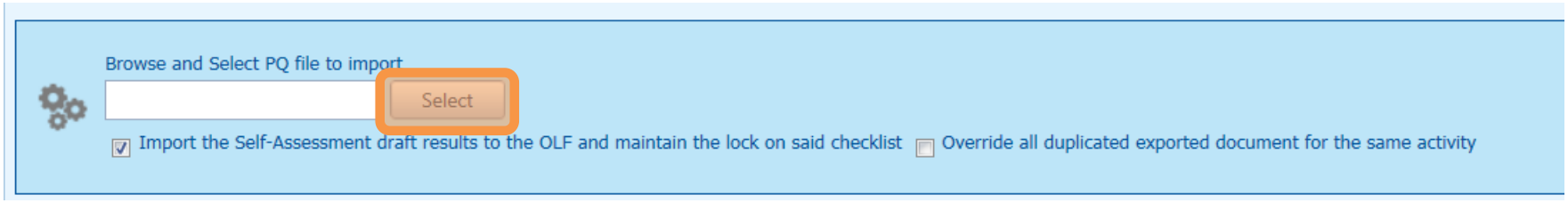
Importing Self-Assessment Checklist

Under "**Protocol Question (PQ)**" tab, scroll down and select "**Import Protocol Self-Assessment Checklist**".



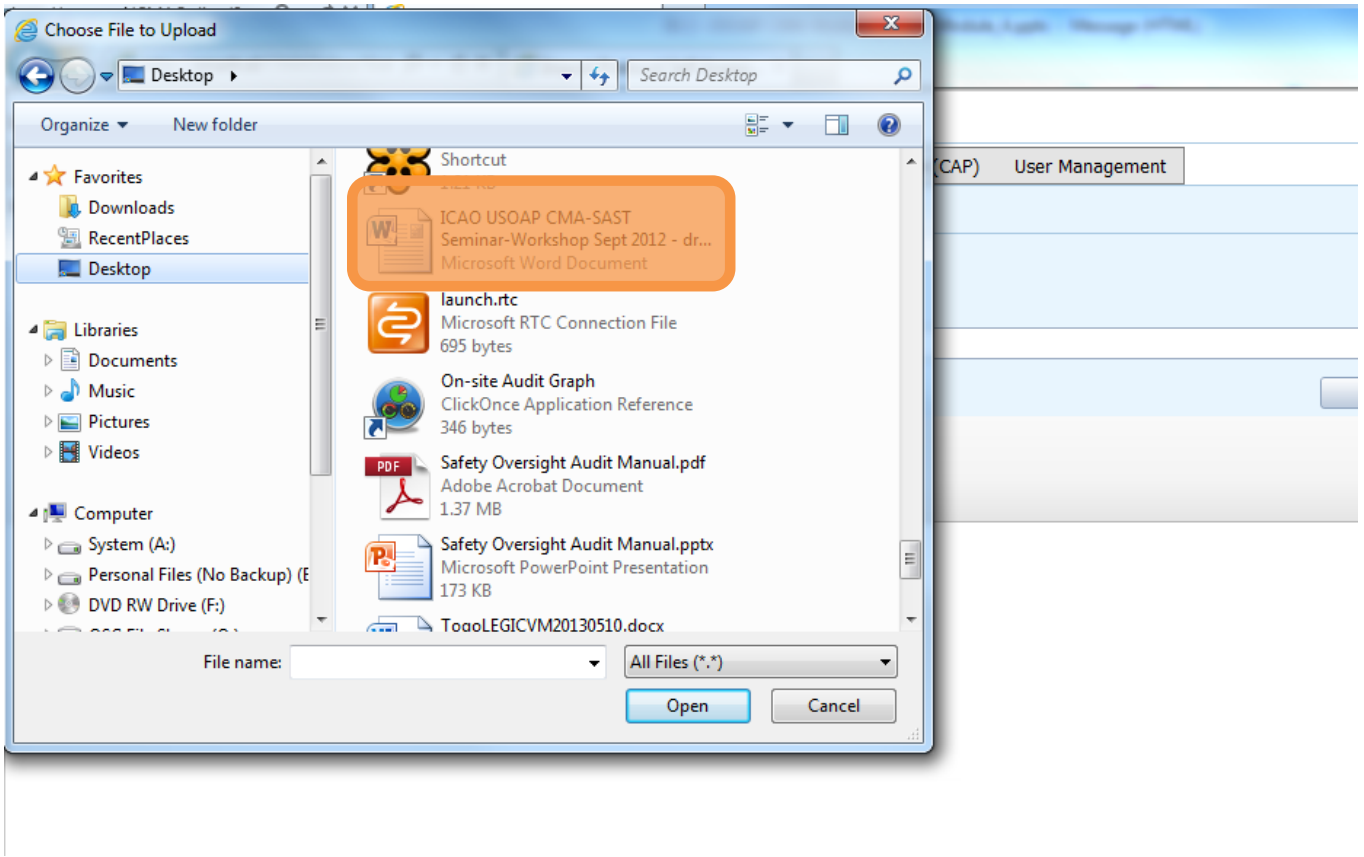
Importing Self-Assessment Checklist

Click “**Select**” to open window and select file to be imported.



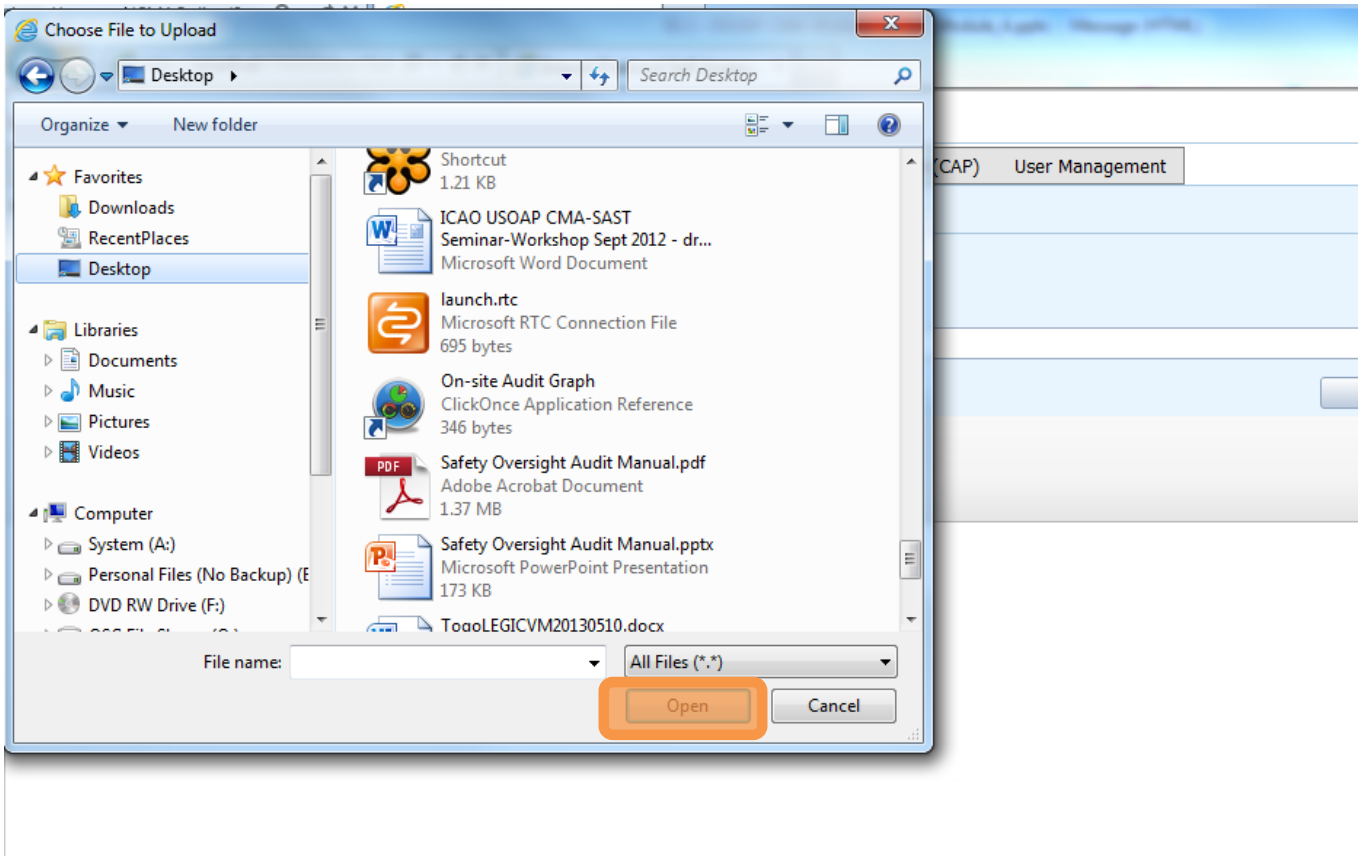
Importing Self-Assessment Checklist

Select file to be imported and close window.

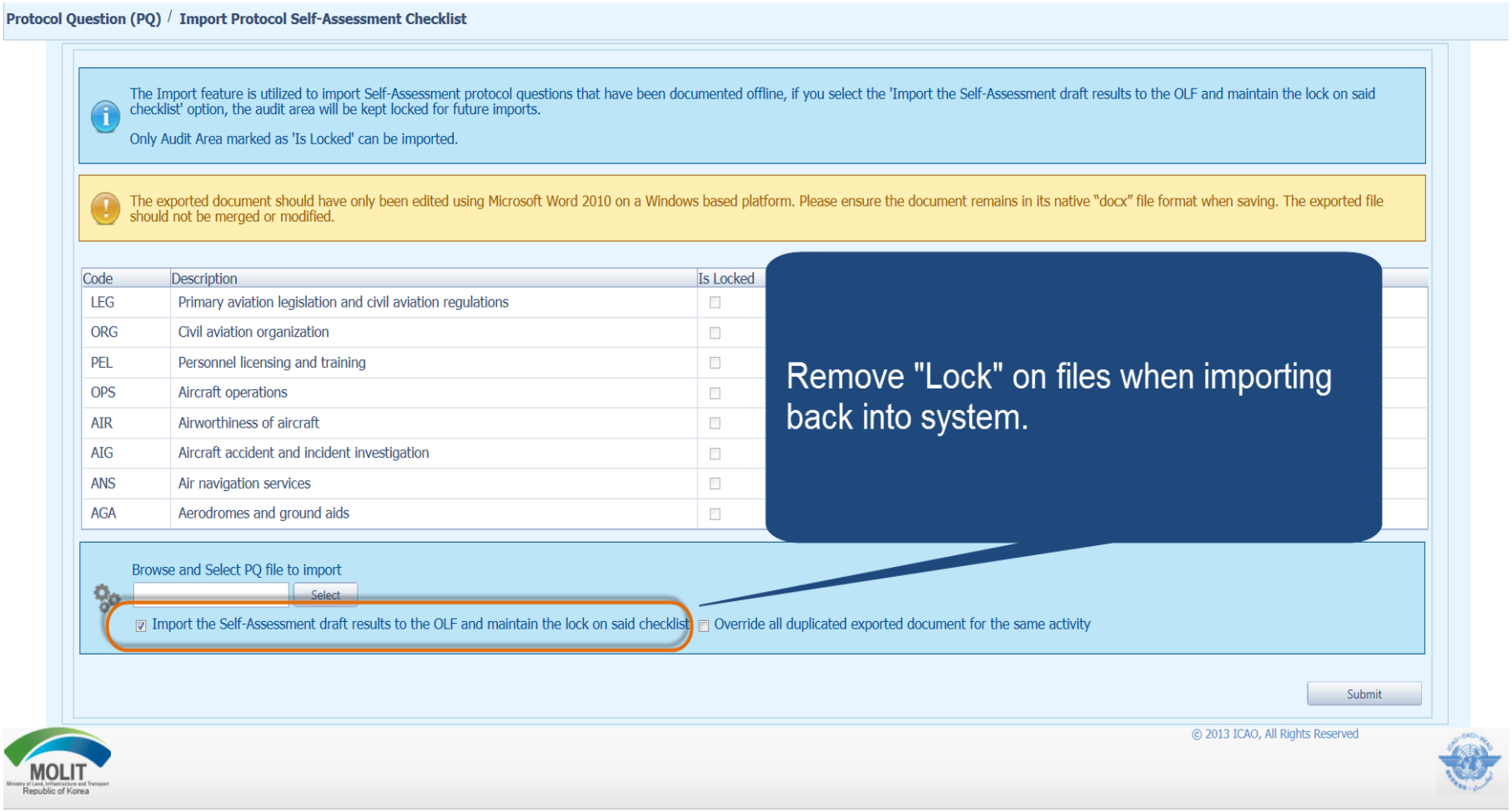


Importing Self-Assessment Checklist

Click "**Open**" to import the file.

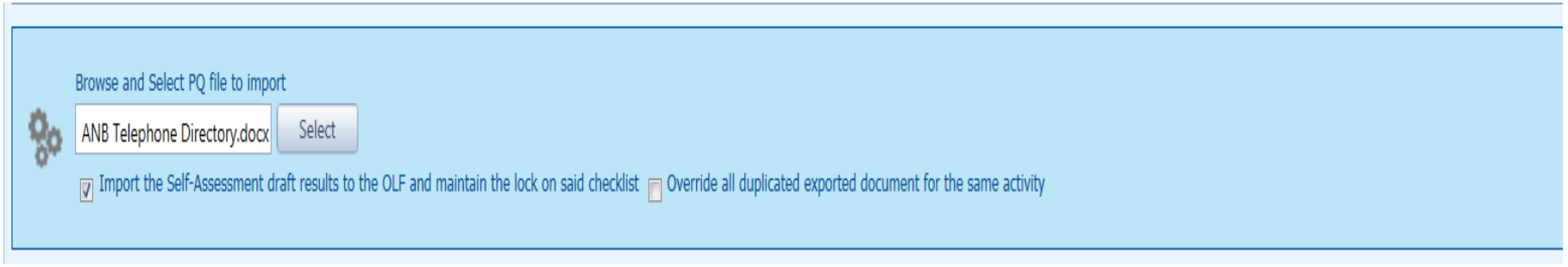


Importing Self-Assessment Checklist



Importing Self-Assessment Checklist

Once filename appears in “**Select**” field, click “**Submit**”.



Export/Import Self-Assessment Checklist

Points to keep in mind when *exporting/importing* files:

- If exported files are to be used solely for information purposes, make sure to manually *Unlock* the file after exporting.
- Do NOT make any modifications to the structure of the document, entering information ONLY in the prescribed areas.

Changing the document structure will prevent you from importing said file back into the OLF.

- Do NOT change the document name.
- Once all work on the document is completed, make sure to uncheck the "**Import the Self-Assessment draft results to the OLF and maintain the lock on said checklist**" button.

How to Submit CAPs

How to Submit CAPs

Why is it important for States to provide effective CAPs and CAP updates?

- It is required by the MOU.
- It ensures that States fully address PQ findings.
- CAP updates allow States to report the level of progress made.
- It enables ICAO to determine the next course of action.

Responsibility of State

State is required to:

- Provide a CAP that fully addresses the PQ Finding (Refer to the “Six Criteria for a Good CAP” in slide no. 44);
- Submit to ICAO the progress made in implementation of each CAP; and
- Once CAP is fully implemented, attached the relevant evidence.

Responsibility of ICAO

ICAO is required to:

- Provide status of submitted CAP (i.e. “CAP does not address the Finding”, “CAP partially addresses the finding”, “CAP fully addresses the finding”, and others);
- Provide status of CAP review (i.e. “not started” or “in progress” or “completed”); and
- Verify if a completed CAP that was submitted meets the 3 requirements for validation.

Six Criteria for a Good CAP ("RCDSRC")

1) **R**elevant: CAP addresses the ***issues*** and ***requirements*** related to the finding and corresponding PQ and CE.
2) **C**omprehensive: CAP is ***complete*** and includes ***all elements or aspects*** associated with the finding.
3) **D**etailed: CAP outlines implementation process using ***step-by-step approach***.
4) **S**pecific: CAP identifies ***who will do what, when*** and in coordination with other entities, if applicable.
5) **R**ealistic: In terms of ***contents*** and ***implementation timelines***.
6) **C**onsistent: In relation to ***other CAPs*** and with the ***State's self-assessment***.

How to Submit CAPs

- Go to the USOAP CMA Online Framework (OLF) website using the following link: www.icao.int/usoap.

- Click "**CAP**" icon.

How to Submit CAPs

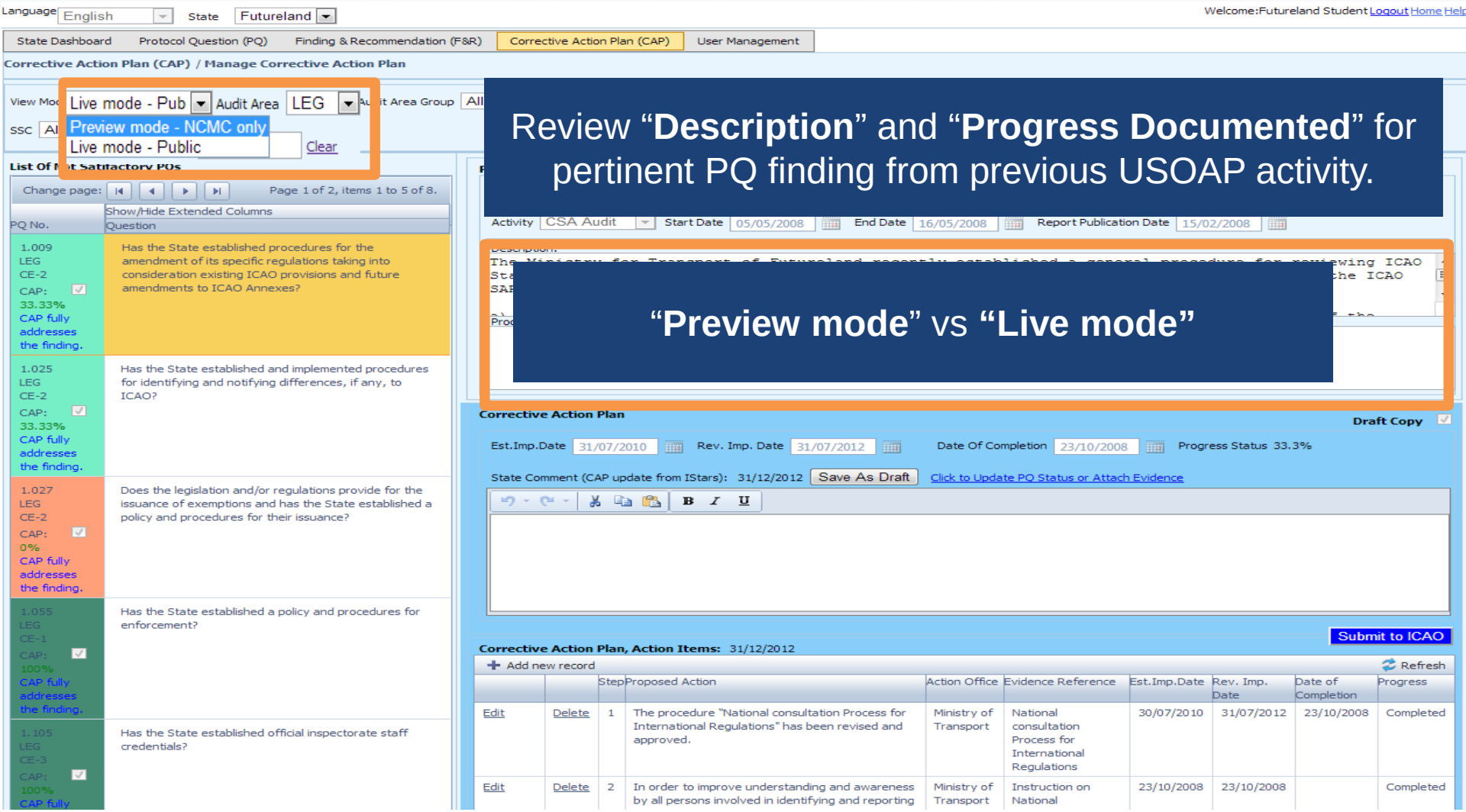
States are required to submit:

- Effective CAPs; and
- Provide regular CAP progress as required by the MOU.

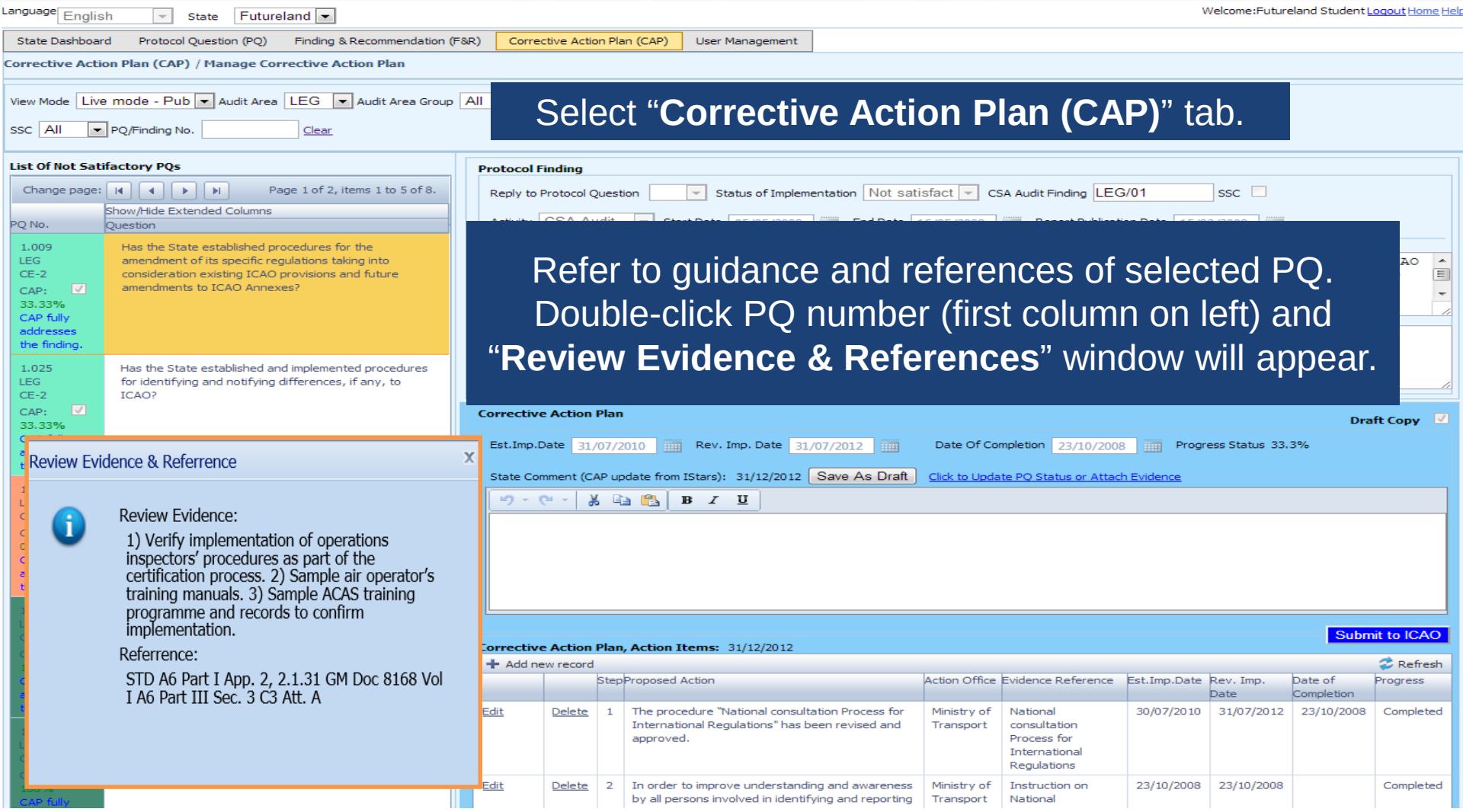
How to Submit CAPs

- States should ensure that CAPs submitted:
  - Fully address PQ findings;
  - Are relevant, clear, detailed and comprehensive;
  - Have realistic target implementation dates; and
  - Work systematically towards implementing corrective actions.

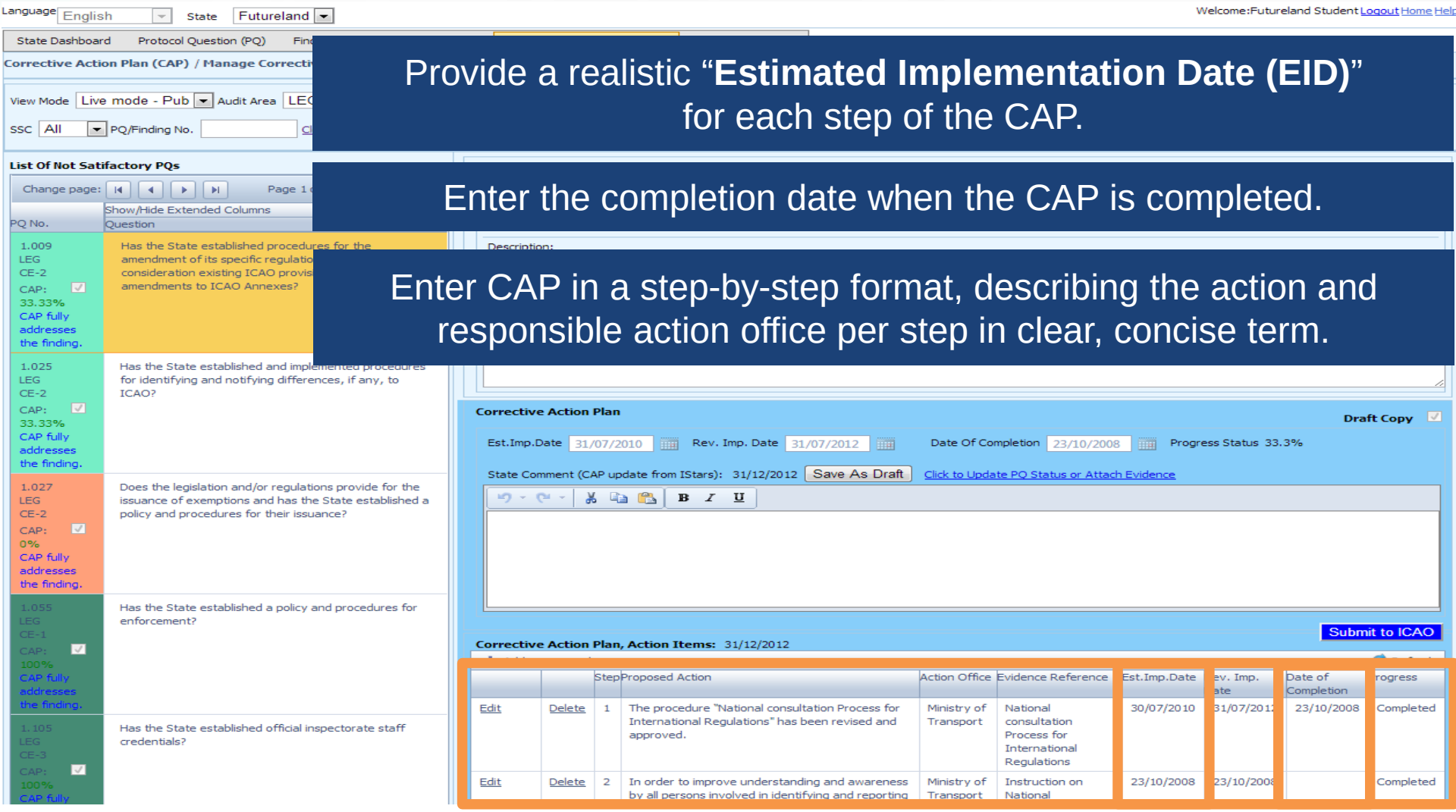
How to Submit CAPs



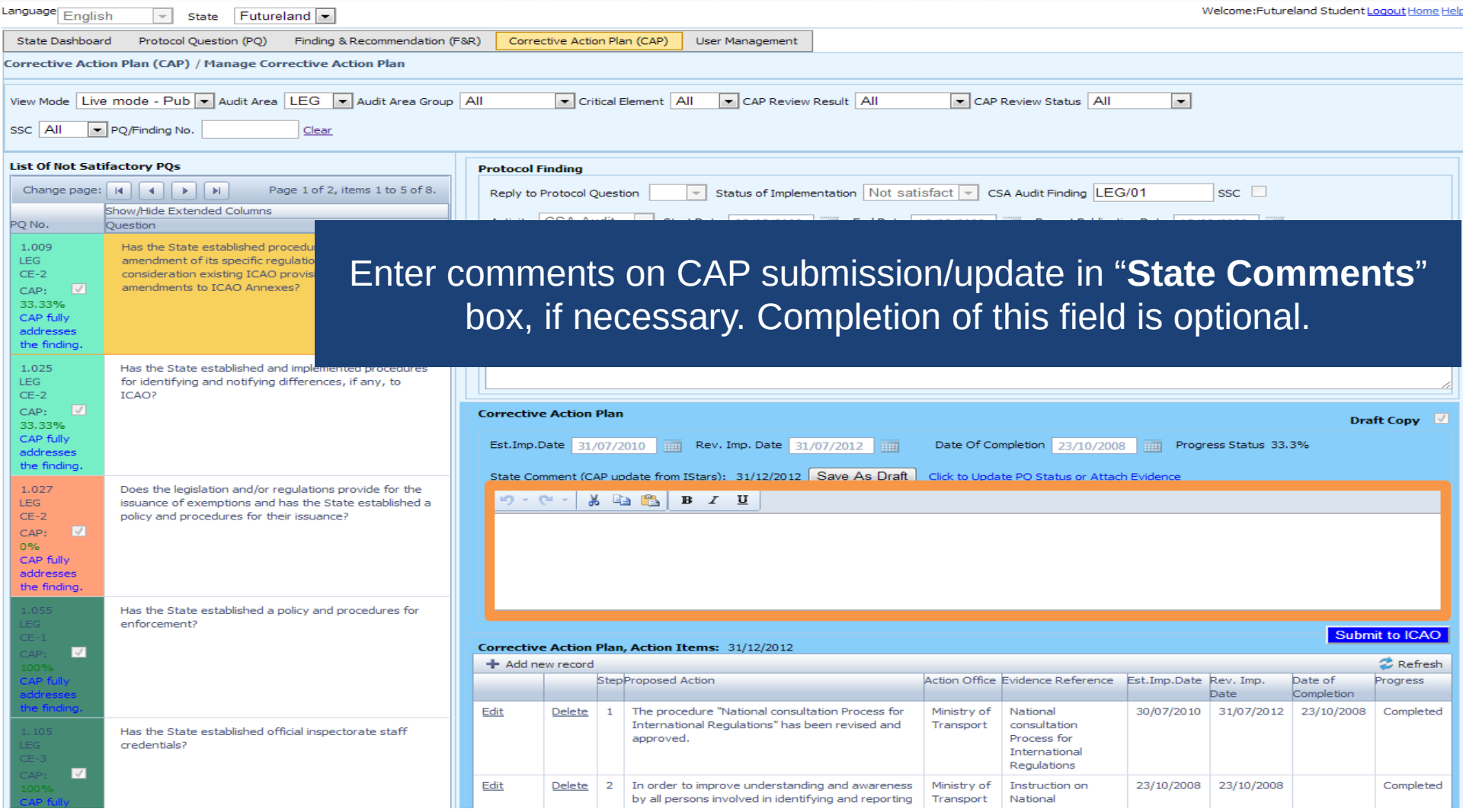
How to Submit CAPs



How to Submit CAPs

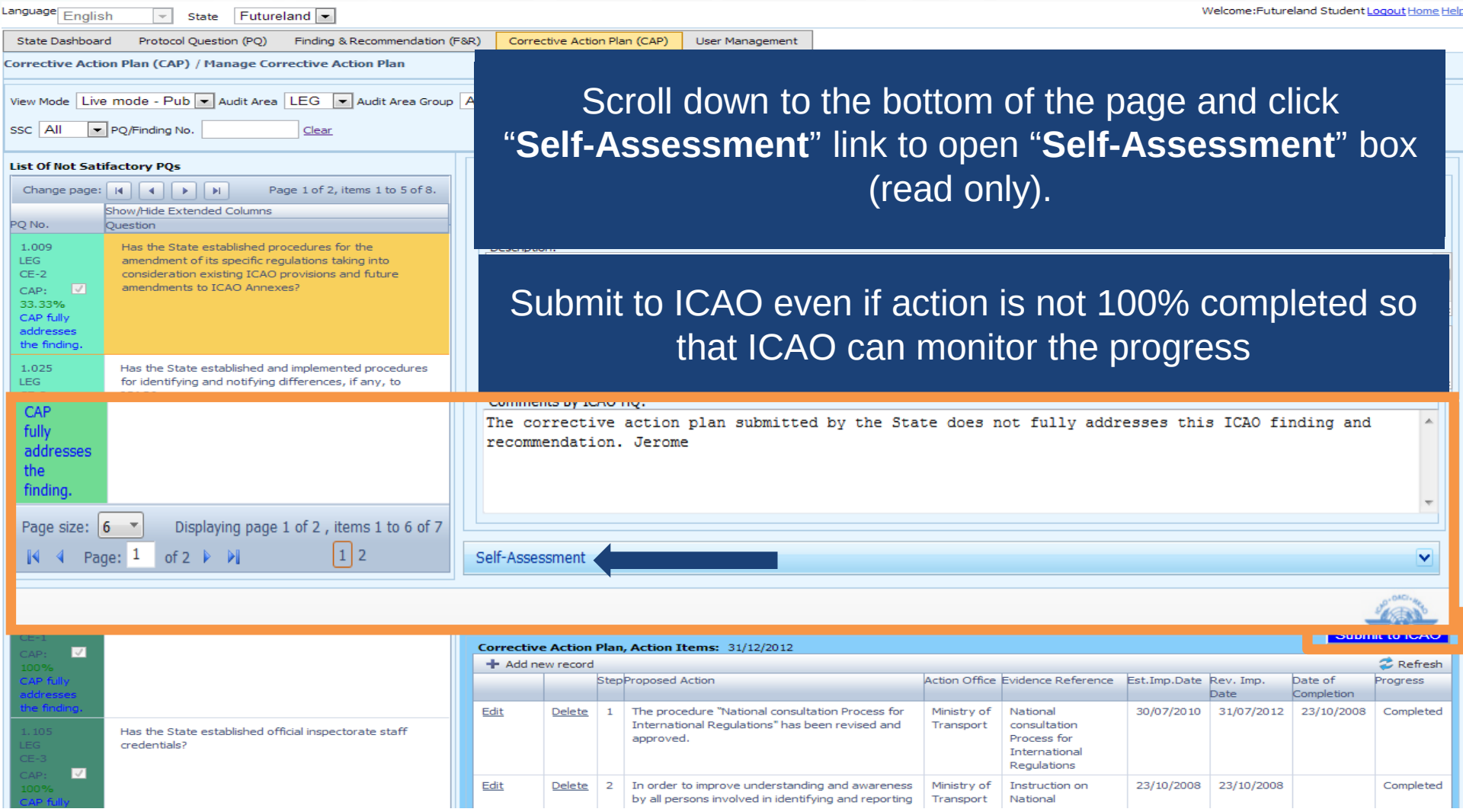


How to Submit CAPs

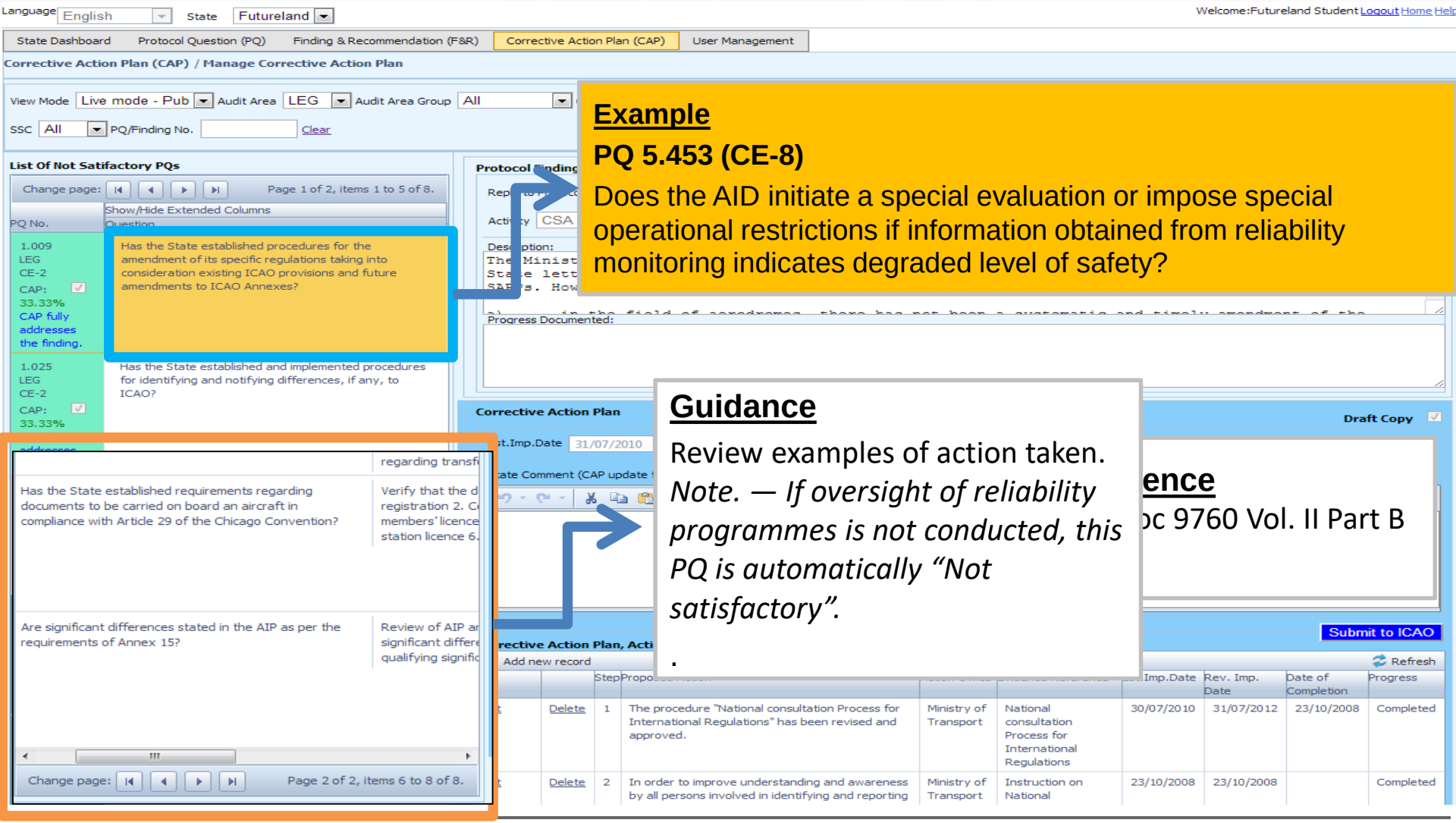


Enter comments on CAP submission/update in "**State Comments**" box, if necessary. Completion of this field is optional.

How to Submit CAPs



Example



Example

PQ 5.453 (CE-8)

Does the AID initiate a special evaluation or impose special operational restrictions if information obtained from reliability monitoring indicates degraded level of safety?

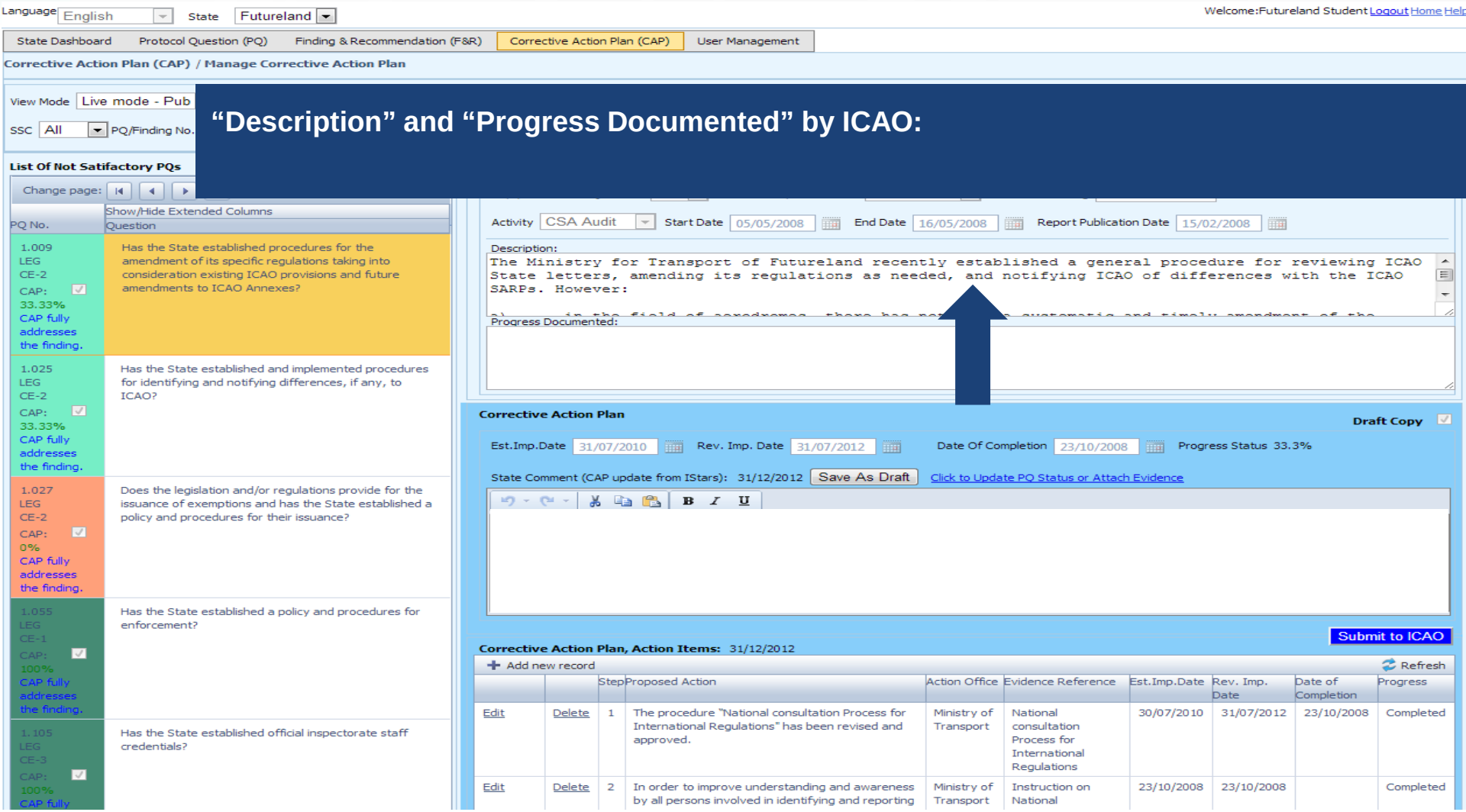
Guidance

Review examples of action taken.

Note. — If oversight of reliability programmes is not conducted, this PQ is automatically "Not satisfactory".

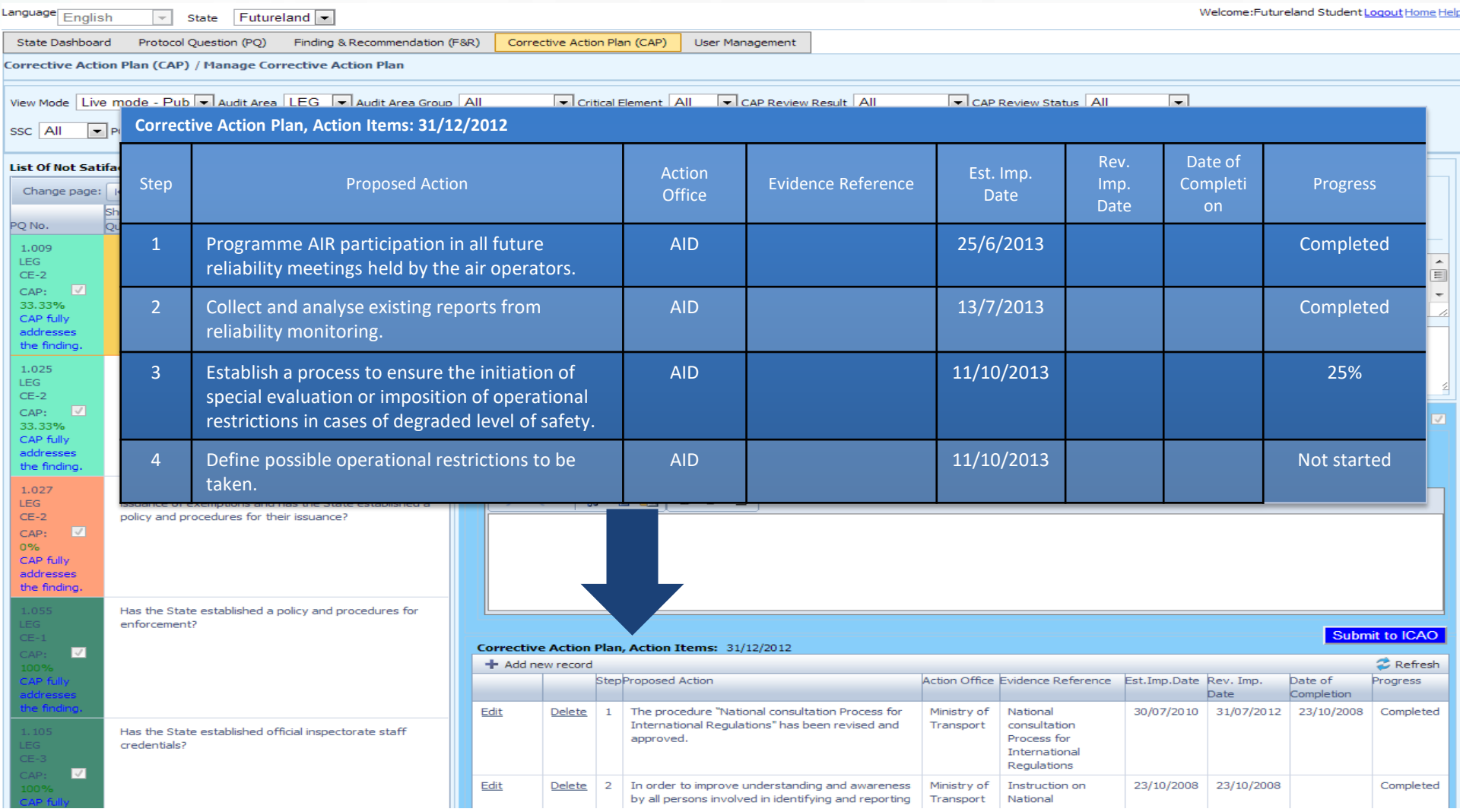
.

Example



"Description" and "Progress Documented" by ICAO:

Example of Completed CAP



Corrective Action Plan, Action Items: 31/12/2012

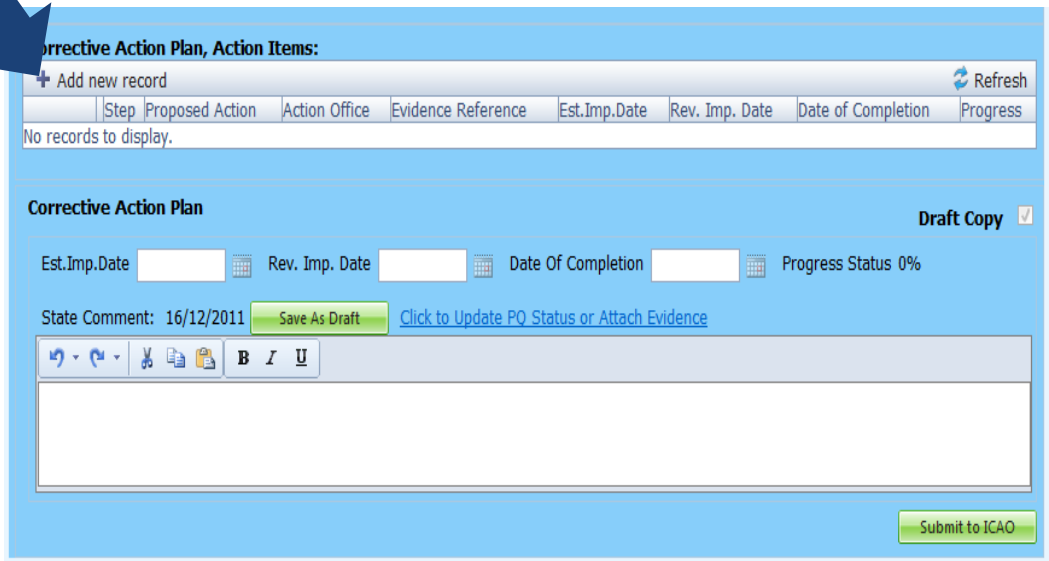
Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
1	Programme AIR participation in all future reliability meetings held by the air operators.	AID		25/6/2013			Completed
2	Collect and analyse existing reports from reliability monitoring.	AID		13/7/2013			Completed
3	Establish a process to ensure the initiation of special evaluation or imposition of operational restrictions in cases of degraded level of safety.	AID		11/10/2013			25%
4	Define possible operational restrictions to be taken.	AID		11/10/2013			Not started

How to Add New CAPs

PQ No	Show/Hide Extended Columns Question
5.001 AIR CE-2 N/S	Has the State promulgated airworthiness regulations to enable the State to implement the airworthiness-related provisions of ICAO Annexes 6, 7, 8 and 16?
5.003 AIR CE-2 S	Has the State issued a comprehensive and detailed national code of airworthiness or adopted and promulgated the code of another State, containing the full scope and extent of details necessary as the basis for the certification/acceptance of individual aircraft?
5.005 AIR CE-2 N/S	Has the State developed and implemented procedures for the amendment of its enabling regulations and national standards?
5.007 AIR CE-2 N/S	Has the State developed and implemented a procedure for identifying and notifying differences, if any, to ICAO?
5.009 AIR CE-2 N/A	If the State has adopted airworthiness regulations from another State, has it established and implemented a procedure for ensuring that these regulations comply with relevant ICAO Annexes initially and on an ongoing basis subsequent to an Annex amendment or an amendment by the originating State?
5.011 AIR CE-2 S	Are copies of the airworthiness enabling regulations (including directives, orders, circulars, publications, etc.) applicable in the State readily available to the public?

1 - Select PQ for which a new CAP is to be added.

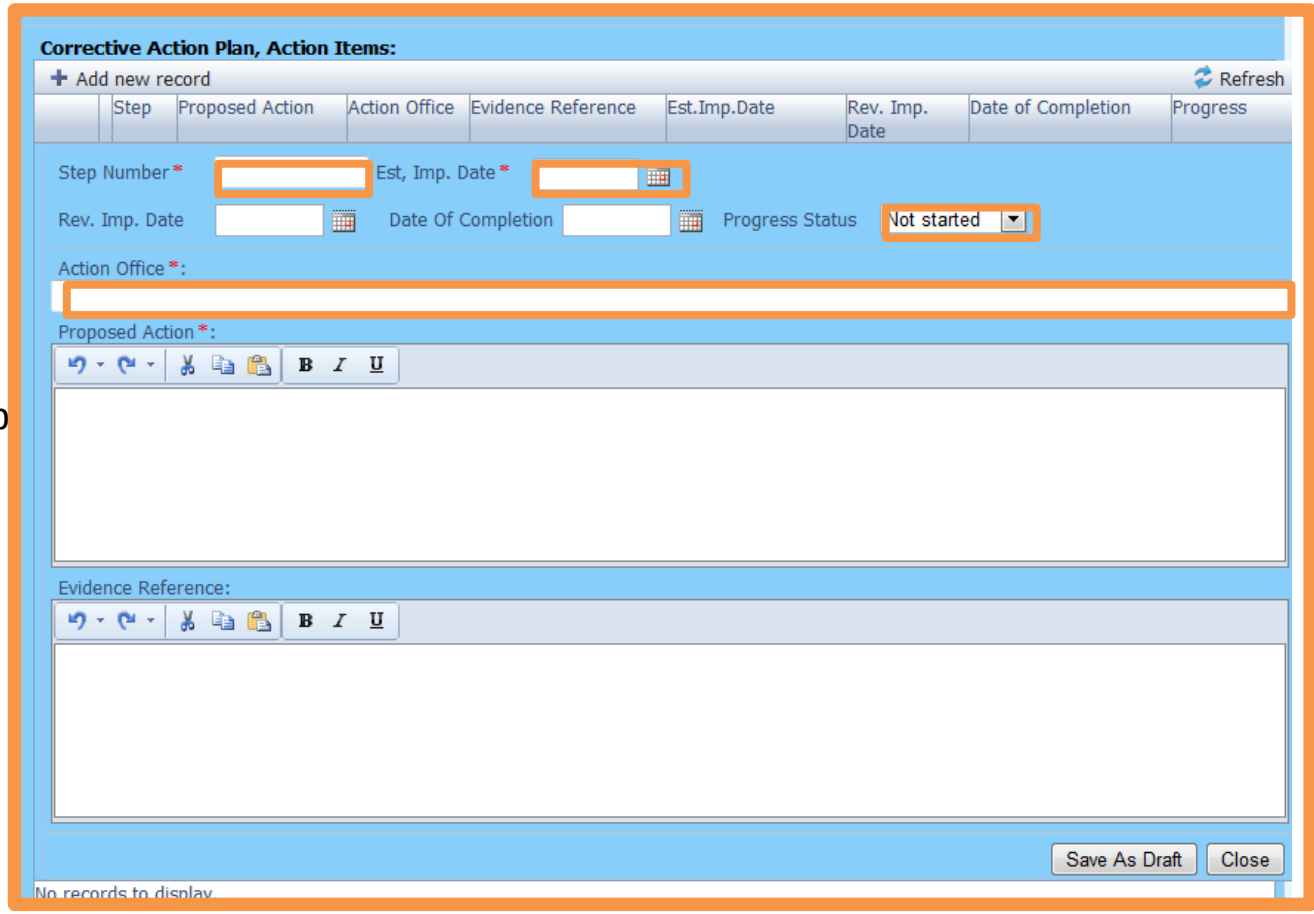
2 - Click "**Add new record**".



How to Add New CAPs

Fill in the following fields:

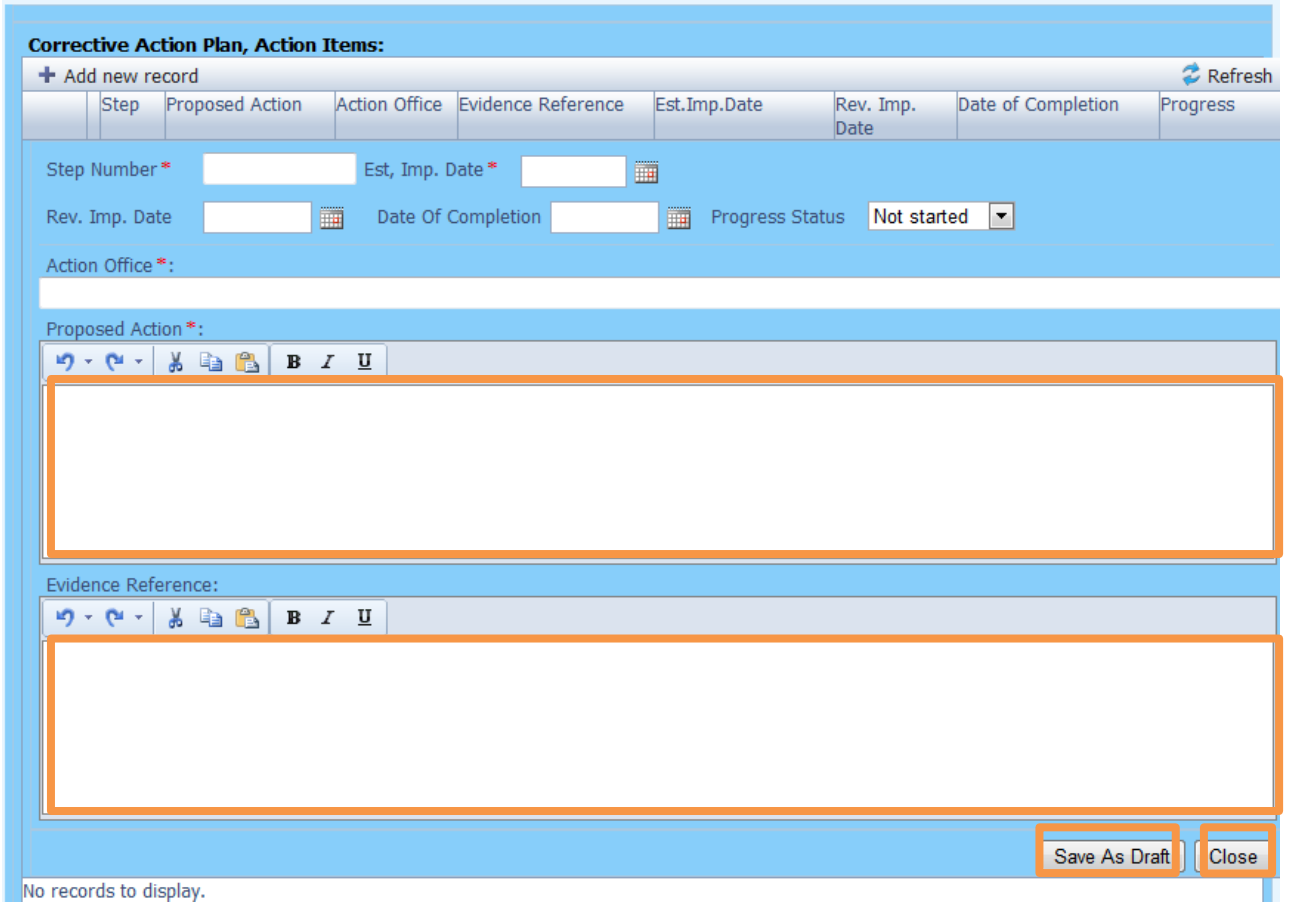
- **Step number:** A CAP may have several steps based on complexity of action. Each action will require a separate step to facilitate CAP assessment and validation.
- **Estimated Implementation Date:** This estimated date should indicate when the step is expected to be fully implemented.
- **Progress status**
- **Action office** is the office in charge of completing this step.



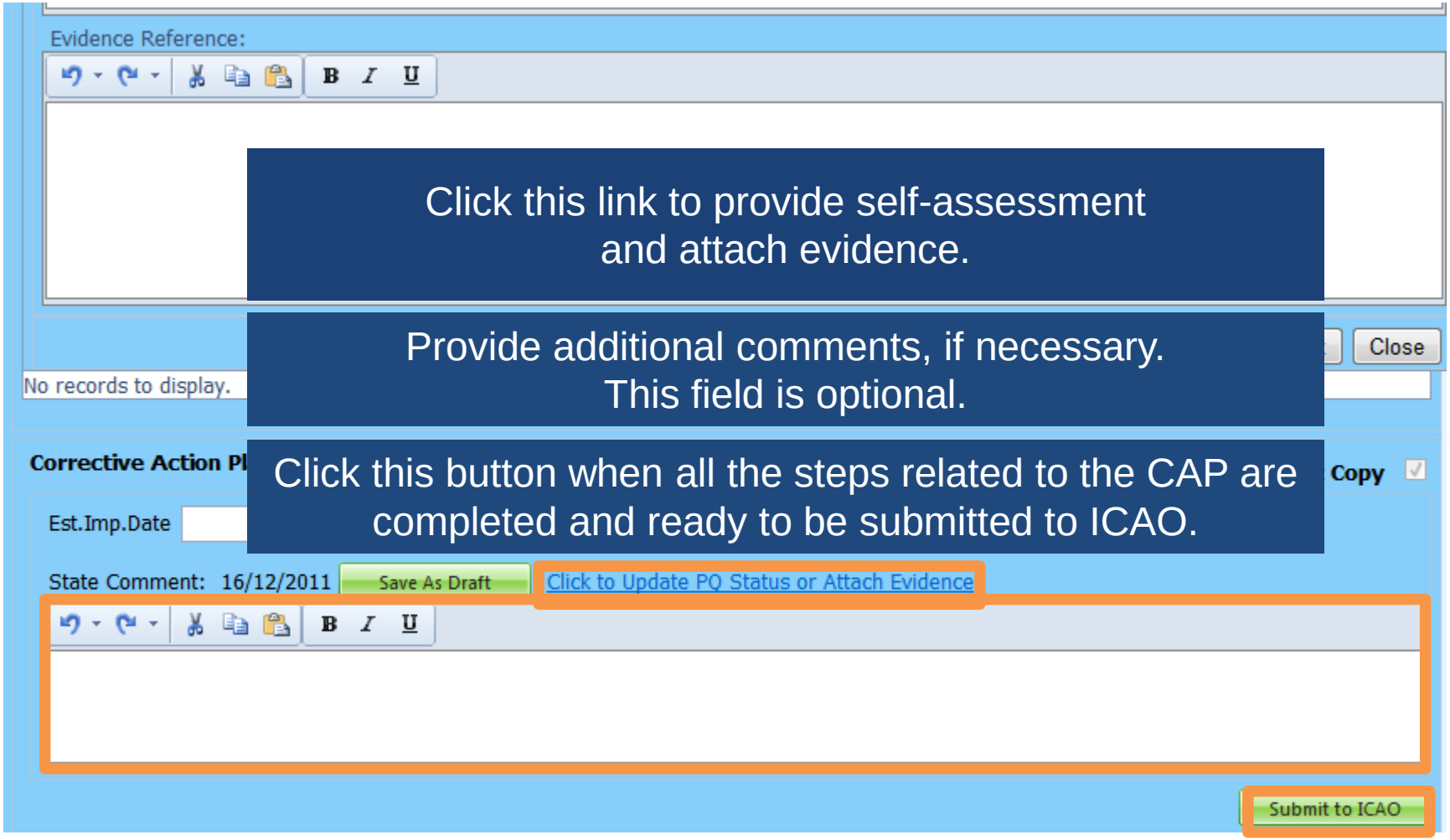
How to Add New CAPs

Fill in the following fields:

- **Proposed Action:** Make sure to provide a proposed action item for the corresponding step.
- **Evidence Reference:** Each reference should be clearly indicated (i.e. chapter, section, paragraph, etc.).
- **Save as draft**
- **Close:** To return to the previous page and to add next steps.

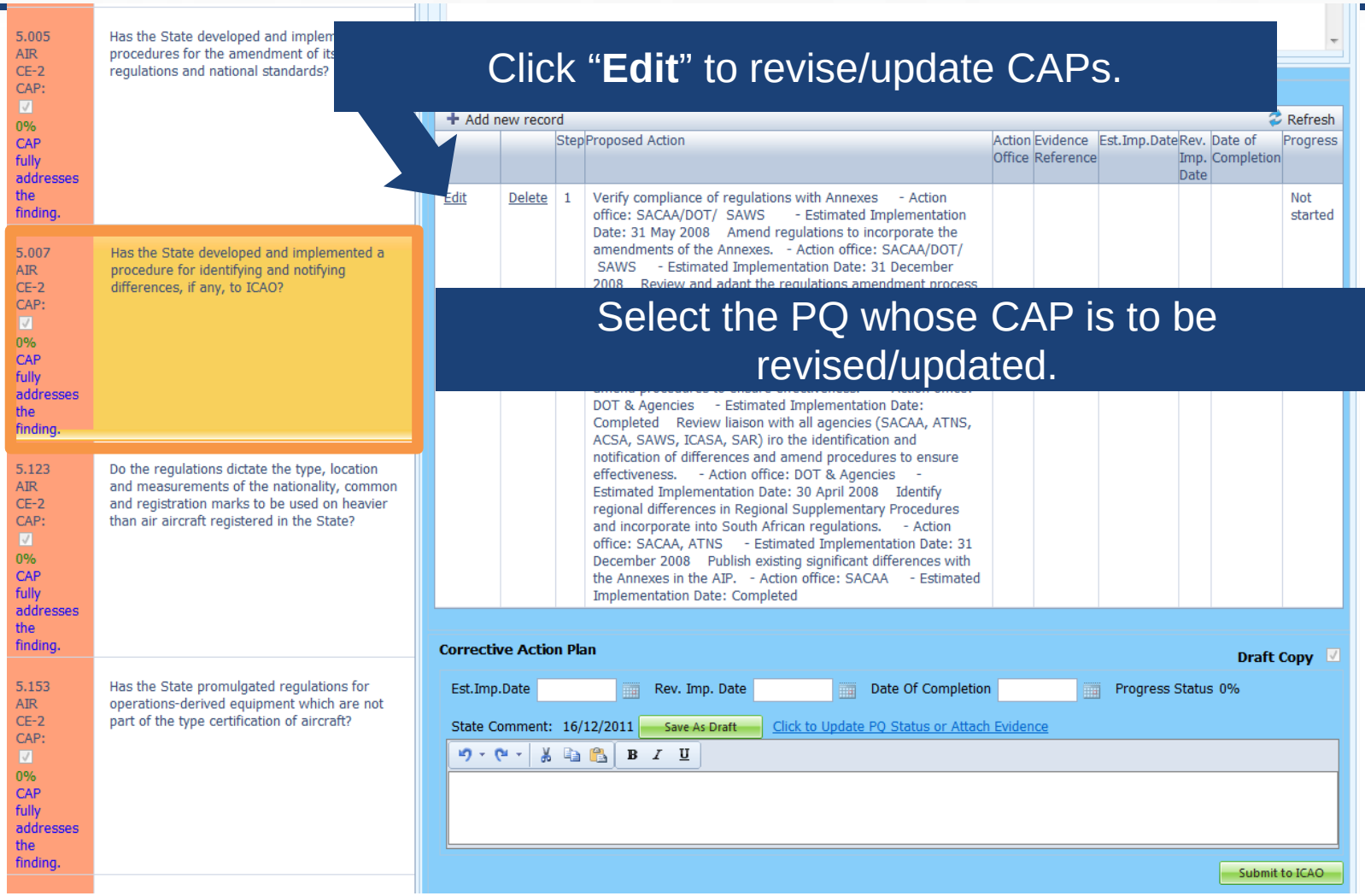


How to Add New CAPs



How to Update CAPs

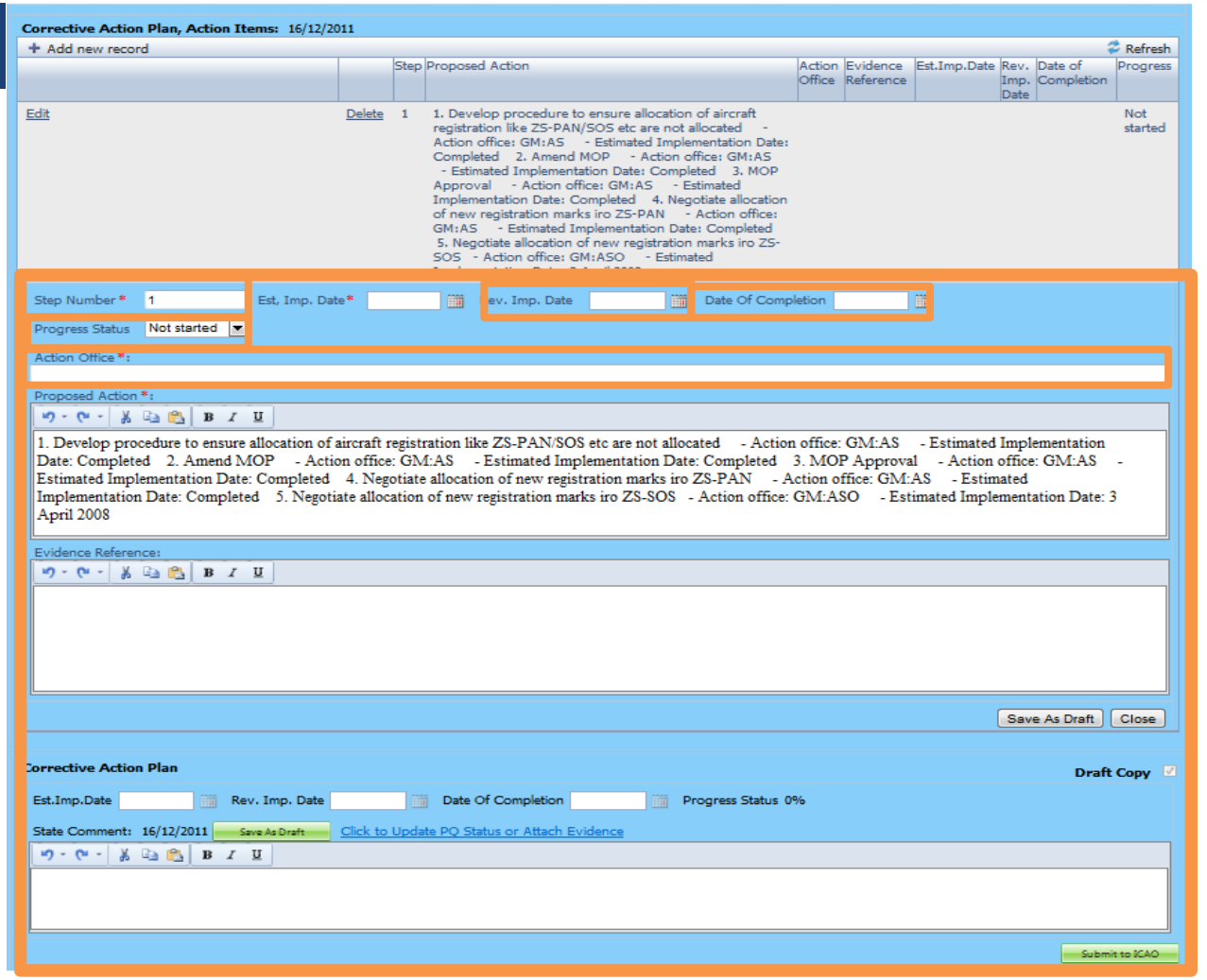
How to Update CAPs



How to Update CAPs

Fill in the following fields:

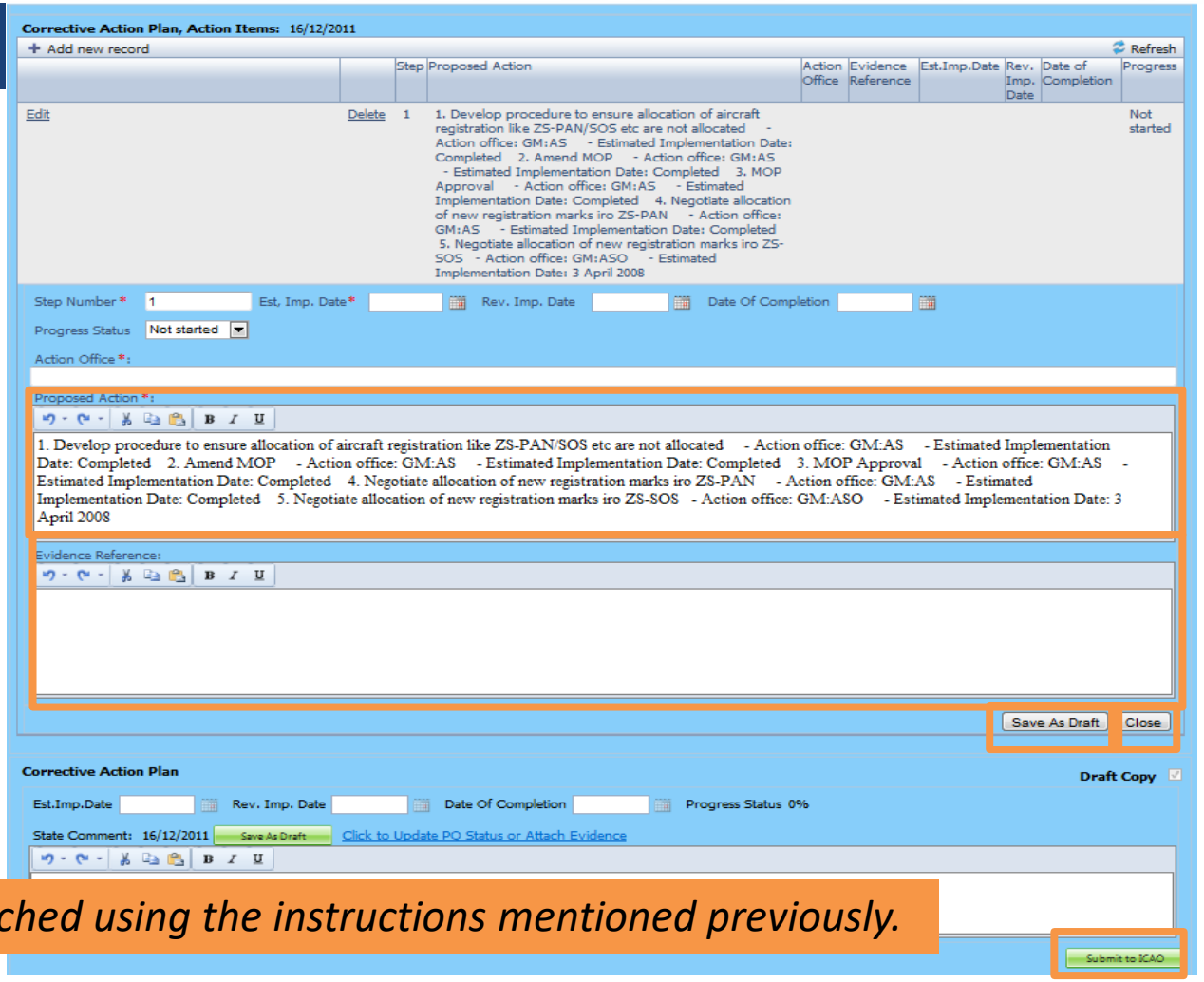
- **Step Number:** A CAP may have several steps based on the complexity of the action. Each action will require a separate step to facilitate CAP assessment and validation.
- **Revised Implementation Date:** Based on the CAP update, if the EID is no longer realistic, then a revised implementation date should be entered.
- **Date of Completion:** The date when the action was completed should be entered.
- **Progress Status**
- **Action Office**



How to Update CAPs

Fill in the following fields:

- **Updated Proposed Action:** Make sure to provide a proposed action item for each corresponding step.
- **Evidence Reference:** Each reference should be precise and detailed (with chapter, section, paragraph, etc.).
- **Save as Draft**
- **Close:** To return to previous page and to edit other steps.
- **Submit to ICAO**: When all steps are fully edited and ready for submission.



Note.— Evidence may be attached using the instructions mentioned previously.

Review

- How to Conduct PQ Self-Assessment.
- How to Submit CAPs.
- How to Update CAPs.

The system is evolving.
Feedback and suggestions from users is required for the system to mature!

ICAO

THANK YOU